

U.S. Department of
Homeland Security

United States
Coast Guard



COAST GUARD OFFICER EVALUATION SYSTEM PROCEDURES MANUAL



PSCINST M1611.1A



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18 Oct 2013

COAST GUARD PERSONNEL SERVICE CENTER INSTRUCTION M1611.1A

Subj: OFFICER EVALUATION SYSTEM PROCEDURES MANUAL

Ref: (a) Officer Accessions, Evaluations and Promotions, COMDTINST M1000.3 (series)
(b) Correcting Military Records, COMDTINST 1070.1 (series)

- PURPOSE.** This Manual prescribes the procedures for completing the Coast Guard Officer Support Form (OSF) and Officer Evaluation Report (OER). It includes both performance and academic evaluations.
- ACTION.** The provisions of this Manual apply to all Reported-on Officers and rating chains, Coast Guard unit commanders, commanding officers, deputy/assistant commandants, and chiefs of headquarters staff elements. This Manual discusses *procedures* and reiterates *policies* set forth in Reference (a). Failure to comply with OER procedure does not necessarily render an OER invalid. Internet release is authorized.
- DIRECTIVES AFFECTED.** The Coast Guard Officer Accessions, Evaluations and Promotions Manual, COMDTINST M1000.3 (series) separated policy and procedure for the Officer Evaluation System (OES). This Manual sets forth the OES procedures and will allow for expedited updates and promulgation of procedural changes. Officer Evaluation System Procedures Manual, PSCINST M1611.1, is hereby cancelled.
- REQUEST FOR CHANGES.** PSC relies on user input and feedback for improvement of this and other publications we provide. Recommendations may be submitted by e-mail to arl-pf-cgpsc-opm@uscg.mil and arl-pf-cgpsc-rpm-query@uscg.mil.
- MAJOR CHANGES.** Changes to this Manual include the addition of Chapter 11 which describes the new one-page ensign Officer Evaluation Report, CG-5310E. Minor changes elsewhere are annotated by a sidebar line.

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A	X	X		X	X	X	X	X	X	X	X	X	X	X	X	X	X		X		X	X				
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C	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X		X	X	X	X	X	
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H	X	X	X	X	X	X	X	X																		

NON-STANDARD DISTRIBUTION:

6. DISCLAIMER. This Manual is not a substitute for applicable legal requirements, nor is it itself a rule. It is intended to provide guidance for Coast Guard personnel and is not intended to nor does it impose legally-binding requirements on any party outside the Coast Guard.
7. RECORDS MANAGEMENT CONSIDERATIONS. This Manual has been evaluated for potential records management impact. The development of this Manual has been thoroughly evaluated during the review process, and it has been determined there are no further records scheduling requirement, per Federal Records Act, 44 U.S.C. 3101 et seq., National Archive and Records Administration (MARA) requirements, and the Information and Life Cycle Management Manual, COMDTINST M5212.12 (series). This Manual does not have any significant or substantial change to existing records management requirements.
8. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS.
 - a. The development of this Manual and the general procedures contained within it have been thoroughly reviewed by the originating office and are categorically excluded under current USCG categorical exclusion (CE) #1 from further environmental analysis, per Section 2.B.2. and Figure 2-1 of the National Environmental Policy Act Implementing Procedures and Policy for Consideration Environmental Impacts, COMDTINST M16475.1 (series).
 - b. This directive will not have any of the following: significant cumulative impacts on the human environment; substantial controversy or substantial change to existing environmental conditions; or inconsistencies with any Federal, State, or local laws or administrative determinations relating to the environment. All future specific actions resulting from the general policies in this Manual must be individually evaluated for compliance with the National Environmental Policy Act (NEPA), Council on Environmental Policy NEPA regulations at 40 CFR Parts 1500-1508, DHS, and Coast Guard NEPA policy, and compliance with all other environmental mandates.
9. FORMS/REPORTS. The forms referenced in this Manual are available in USCG Electronic Forms on the Internet: <http://www.uscg.mil/forms/>.

D. R. CALLAHAN /s/
Rear Admiral, U. S. Coast Guard
Commander, Personnel Service Center

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CHAPTER 1. PREPARATION AND USE OF THE OFFICER SUPPORT FORM (OSF), FORM CG-5308 (SERIES)

A. General

This form may be used by the Reported-on Officer, the Supervisor, or both, as an aid to establishing a clear understanding of job expectations and assist the Supervisor in providing constructive performance feedback and in preparing proper evaluations. *Use of the OSF or similar format is mandatory for Supervisors of all Reported-on Officers in the grades of ensign and lieutenant (junior grade).* If a documentation format other than the OSF is used, general adherence to the major sections of the OSF is encouraged. All restrictions that apply to the OER also apply to the OSF.

B. Functions of the OSF

1. Serves as a vehicle for clarifying the Reported-on Officer's job responsibilities and areas of the job which either the Reported-on Officer and/or Supervisor feel should receive emphasis during the reporting period.
2. Serves as a means for the Reported-on Officer to inform the Supervisor if beginning or end-of-period performance feedback or counseling is desired.
3. Provides the Reported-on Officer a means of bringing to the Supervisor's attention significant accomplishments or aspects of performance which occurred during the period.
4. Provides a convenient place for the Supervisor to note significant accomplishments, shortcomings, behavior, or qualities observed during the period.
5. Serves as a vehicle for giving specific, constructive performance feedback.
6. Assists the Supervisor and Reporting Officer in preparing well-substantiated performance evaluations.
7. Serves as a vehicle for the Supervisor of an ADPL officer assigned temporarily for periods of less than 60 days, or IDPL officer assigned to a unit other than their permanent unit for periods less than 30 days, to relay information to the Reported-on Officer's Supervisor. The OSF is normally submitted to the Supervisor upon detachment of the officer from the assignment.
8. Serves as a means for district commanders to report on commanding officers of Headquarters units located within their districts. This is an optional avenue to address community relations and those aspects of performance relating to the support services defined in Memorandums of Understanding (MOUs), host-tenant agreements, intra-service support agreements, or similar contracts. If used, OSFs will be submitted directly to the Reported-on Officer's regular Supervisor no less than 21 days before the end of the reporting period.

C. The Form

Officer Support Form (OSF), Form CG-5308 (series), may be used for all grades of officers. It consists of four pages with six major sections:

1. Administrative Data
2. Description of Duties
3. During Period Adjustments
4. Accomplishments / Shortcomings for the Reporting Period
5. Supervisor Comments on Reported-on Officer Accomplishments / Shortcomings
6. Performance Observations

D. Preparation

1. Section 1, Administrative Data.
 - a. NAME/RANK OF REPORTED-ON OFFICER.
 - b. NAME/RANK OF SUPERVISOR. Normally, this will be the primary Supervisor as published in the rating chain.
 - c. PERIOD OF REPORT. The period of time covered by the information noted in the form. This period is normally the same as the OER reporting period.
2. Section 2a, Description of Duties.
 - a. This space provides an opportunity for the Reported-on Officer or Supervisor to make a “common sense” outline of the Reported-on Officer’s normal duty requirements for the specific billet or duty position.
 - b. Entries should show the type of work required rather than frequently changing tasks.
 - c. Descriptions should be clear, concise, and specific; explain what the Reported-on Officer’s job is and not merely list primary and collateral duty titles.
 - d. Entries should include a description of primary duties and significant collateral duties. Specific requirements, key activities, and available resources (such as amount of money controlled and number of people supervised) should also be described.
3. Section 2b, Areas of Emphasis.
 - a. This section provides an opportunity for the Reported-on Officer or Supervisor to record specific projects to be completed, problems anticipated, progress sought, and specific results expected during the reporting period.

- b. Particular goals for the Reported-on Officer's professional development during the period may be listed as well (e.g., completion of professional qualifications or exams, attendance at particular training courses, or completion of correspondence courses). The OSF can be used in conjunction with the Individual Development Plan (IDP), Form, CG-6021 (series), which is a personally tailored action plan that the Supervisor and Reported-on Officer use to identify short and long-term personal and career goals. As outlined in Coast Guard Individual Development Plan (IDP), COMDTINST 5357.1 (series), the IDP is not a performance evaluation method, a contract for training, or a means for clarifying or revising a position description.
- 4. Section 2c, Initial Meeting.
 - a. This section is used by the Reported-on Officer to notify the Supervisor if a meeting is desired at the beginning of the reporting period to discuss what is expected for the coming period. If the Reported-on Officer desires a meeting, they should submit the OSF to the Supervisor no later than 21 days before the beginning of the reporting period.
 - b. When the conference has been held, the Supervisor should date and initial the OSF in the space indicated and return the original to the Reported-on Officer.
- 5. Section 3, During Period Adjustments.
 - a. This section is useful when circumstances affecting the Reported-on Officer's duties, projects, and areas of emphasis change to any significant degree.
 - b. The Reported-on Officer or Supervisor may note new tasks, altered responsibilities, changes of resources, or special problems emerging during the reporting period that impact the Reported-on Officer's ability to attain the expected results.
- 6. Section 4a, Accomplishments / Shortcomings for the Reporting Period.
 - a. In this section, the Reported-on Officer may list accomplishments and progress towards completing projects or achieving expected results entered in Section 2b. Educational or professional accomplishments achieved may be entered as well.
 - b. If the Reported-on Officer intends to apprise the Supervisor of accomplishments or progress for the period using the OSF, the Reported-on Officer submits the OSF no later than 21 days before the end of the reporting period along with a copy of their Employee Summary Sheet (ESS).
- 7. Section 4b, End of Period Meeting.
 - a. The Reported-on Officer uses this section to notify the Supervisor if an end-of-period meeting is desired.
 - b. When the conference has been held, the Supervisor should date and initial the OSF in the space indicated.

8. Section 5, Supervisor's Comments on the Reported-On Officer's Accomplishments / Shortcomings for the Reporting Period.

- a. The Supervisor may affirm, supplement, expand, or otherwise comment upon the Reported-on Officer's accomplishments during the reporting period. The Supervisor should draw from the information generated by conferences and other performance.
- b. Comments here may become a subject for discussion during the end-of-period conference.

9. Section 6, a-d, Performance Observation.

- a. This section of the OSF is used by the Supervisor to note specific examples of the Reported-on Officer's performance or qualities observed or brought to the Supervisor's attention in each of the major evaluation areas of the OER.
- b. The most significant incidents or aspects of performance should be noted for recall to assist in providing constructive performance feedback and substantiating evaluations on the OER. Entries are best noted chronologically, as they occur in the appropriate evaluation area.
- c. For convenience, the Supervisor may use the OSF as a file folder to keep notations of observed performance and to append copies of correspondence, messages, or other documentation related to the Reported-on Officer's performance during the reporting period.
- d. Supervisors are encouraged to exercise imagination in utilizing Section 6 of the OSF as an aid in obtaining information related to the Reported-on Officer's performance. For example, practices such as circulating a copy of the OSF to other staff members who may have knowledge of the Reported-on Officer's performance or the performance of their organizational unit are acceptable and may be helpful.
- e. The Reported-on Officer can use this section to list significant achievements or aspects of performance which occurred during the period of report.

E. Disposition of the OSF

- 1. When the OSF has been used by the Reported-on Officer and the Supervisor, the Supervisor should transfer any pertinent information or notes from their copy to the original, which has been held by the Reported-on Officer during the period. Having used the OSF as an aid in evaluating the Reported-on Officer's performance, the Supervisor then forwards the original OSF, ESS, the OER, and any other information available to the Reporting Officer. A copy of the ESS can be located at:
http://cgbi.osc.uscg.mil/2.0/contentpanes/personal_files/summary_sheet.cfm/
- 2. The step in the above paragraph (describing the transfer of information from a working copy to the original OSF) represents one recommended way and is not intended to restrict the Supervisor in finding a flexible or more convenient way to finalize the OSF. There

are a variety of approaches by which information may be obtained or transferred from one form to another subject to the Supervisor's preference. The goal is for the Reported-on Officer to be aware of what their evaluation will be based on and to provide the Supervisor and Reporting Officer with objective data for consideration in writing the OER.

3. Supervisors and Reported-on Officers are encouraged to be flexible in using the OSF as an aid in carrying out their duties within the spirit of these instructions. Filing copies of correspondence, messages, work lists, trip reports, etc, in the OSF is a sound means of spontaneously documenting the Reported-on Officer's performance. These documents can greatly assist in giving performance feedback and writing an evaluation.
 4. Assisted by the OSF, personal observations, and other information available, the Reporting Officer evaluates the Reported-on Officer's performance of duties, personal qualities, and potential for increased responsibilities. After completion of the appropriate OER sections, the Reporting Officer returns the OSF to the Reported-on Officer.
-

CHAPTER 2. PREPARATION AND PROCESSING OF OERS

A. General

This section describes the procedures for preparing and processing OERs. Members of the rating chain should prepare reports with care. They should ensure that comments are clear, concise, accurate, and timely.

1. The OER is a series of forms used to document the performance and potential of Coast Guard officers. The completion of an OER is a critical leadership responsibility. Inherent in this duty is the commitment of rating chains to ensure the integrity of the system by giving close attention to accurate marking, narrative assessment, and timely reporting. Inaccurate evaluations only serve to dilute the actual value of each report and the OER as a whole.
2. Forward OERs to arrive at CG PSC-OPM-3 or CG PSC-RPM-1 not later than 45 days following the end of the reporting period unless otherwise noted per Article 5.A.3.a. of Reference (a).
3. OER form software will default to the desired font type and size. Adjustment of the font type and size is prohibited.
4. Reports in all capital letters are prohibited.
5. Text enhancements, e.g., underlining, boldface, all capital letters, and font size deviations are not allowed, except names of vessel, operations and acronyms.
6. Acronyms which are uncommon or are specific to a particular Coast Guard program must be clearly defined. This may be effectively accomplished in Section 2 of the OER.
7. Use abbreviations in moderation and only to improve readability and efficiency of the comments. They should also be commonly understood by all Coast Guard officers, e.g., "msg" and "ltr" are common abbreviations; however, "abrvtns" is difficult to interpret.
8. Signatures. OERs require the rating chain's signature.
 - a. Digital Signature. Rating chains with Common Access Card (CAC) capabilities may digitally sign the signature block on the OER form. The use of digital signatures is not mandatory but highly encouraged to reduce storage space and better clarity. Handwritten signatures only or a combination of electronic and handwritten signatures are authorized.
 - b. W2 – O4. Reported-On Officers in the grade of W2 through O4 are required to review and sign their OER in Block 1.b prior to submission to CG PSC-OPM-3 or CG PSC-RPM-1.
 - c. Reported-On Officers Review and Signature. The Reported-On Officer OER review and signature occurs after the Reviewer has signed the OER. Once the Reported-On

Officer signs the OER (either digitally or handwritten), the rating chain forwards the OER to CG PSC-OPM-3 or CG PSC-RPM-1. The Reported-On Officer's signature indicates they have reviewed the completed OER, to include ensuring accuracy of the information in Section 1. *It does not mean the Reported-On Officer agrees or disagrees with the content of the OER.*

d. Reported-On Officers Unavailable for Signature.

[1] Only in *extraordinary* circumstances will the Reported-On Officer signature not be required. Examples include but are not limited to: medical disability of the Reported-On Officer, incarceration or discharge of the Reported-On Officer, etc. In these circumstances where the Reported-On Officer cannot review the OER, the Reviewer completes a Reviewer Comments, Form CG-5315 (series) with an explanation of why the Reported-On Officer could not review the OER. The comparison scale is not completed (see paragraph below). Transfer of a Reported-On Officer is not an extraordinary circumstance.

[2] In cases where Reviewer comments and comparison scale are mandatory (see Article 5.A.2.d.(4)(b)[2] of Reference (a)) and extraordinary circumstances prevent the Reported-On Officer from reviewing the OER, the Reviewer completes Reviewer Comments, Form CG 5315 (series), and provides required comments and an explanation of why the Reported-On Officer was unable to review the OER.

B. Restrictions

Members of the rating chain shall not:

1. Mention the officer's conduct is the subject of a judicial, administrative, or investigative proceeding, including criminal and non-judicial punishment proceedings under the Uniform Code of Military Justice, civilian criminal proceedings, Personnel Records Review Board (PRRB), CG Board for Correction of Military Records (BCMR), or any other investigation (including discrimination investigations) except as provided in Article 5.A.3.e. of Reference (a). These restrictions do not preclude comments on the conduct that is the subject of the proceeding. They only prohibit reference to the proceeding itself. Referring to the fact conduct was the subject of a proceeding of a type described above is also permissible when necessary to respond to issues regarding that proceeding first raised by an officer in a reply under Article 5.A.7.e. of Reference (a).
2. Consider or evaluate the performance of any officer as a member of a court-martial, or give a less favorable evaluation to any defense counsel because of the zeal with which they represented an accused. Such evaluations are prohibited by the Manual for Courts-Martial, M.C.M., 104 (b) (1). This is not intended to preclude the accurate evaluation of, and comment on, counsel's advocacy skills, e.g., trial preparation, organization, logical analysis, writing ability, oral advocacy, direct or cross examination, handling of evidence, use of expert witnesses or demonstrative evidence, etc., displayed in a court-martial setting. However, in commenting on such performance, whether favorable or

unfavorable, no reference will be made to the name, case number, or final result (acquittal, conviction, or sentence).

3. Mention or allude to the fact that the Reported-on Officer was not selected by a board or panel, e.g., references to non-voluntary retirement or non-voluntary separation.
4. Mention any PRRB or BCMR application or decision.
5. Mention any medical or psychological conditions, whether factual or speculative. Restriction applies to Reported-on Officer and family members. The mention of not fit for duty status is prohibited.
6. Mention pregnancy. Restriction applies to Reported-on Officer and family members.
7. Expressly evaluate, compare, or emphasize gender, religion, color, race, sexual orientation, or ethnic background.
8. Place emphasis upon a third party by gender, religion, color, race, sexual orientation, or ethnic background, e.g., Catholic lay minister wrote award recommendation for African-American civilian. Although there is no restriction on naming third parties, rating chains should realize it is much easier to reconcile titles with positions of authority rather than correlating performance with proper names.
9. Refer to the Reported-on Officer by first name in the comment blocks.
10. Refer to Reported-on Officer's marital or family status.
11. Discuss Reported-on Officer's performance or conduct which occurred outside the reporting period except as provided in Article 5.A.3.e. of Reference (a).
12. Provide comments, attachments or citations which include information subject to a security classification. Evaluations of officers in billets dealing with classified national security issues should characterize performance in a manner which captures the essence of actions and their impact as specifically as possible without raising the classification above the UNCLAS level.
13. Reserve Reported-on Officer OERs shall not comment on non-Coast Guard employment, including Reported-On Officers who are also employed as civilians in the Coast Guard.

C. Forms



Use the following forms for the appropriate pay grade:

GRADE	FORM	REVIEWER COMMENTS
Captain	CG-5310D	CG-5315D
Commander	CG-5310C	CG-5315C
Lieutenant Commander	CG-5310B	CG-5315B
Lieutenant	CG-5310B	CG-5315B
Lieutenant (junior grade)	CG-5310A	CG-5315A
Ensign	CG-5310E	CG-5315E (Comments Page)
Chief Warrant Officer	CG-5310A	CG-5315A

Table 2-1 Regular OER Forms

D. Reported-on Officer Preparation

1. Mandatory meetings and use of the OSF for ensigns and lieutenants (junior grade). All Reported-on Officers in these grades must request initial and end-of-period meetings with their Supervisors, and must submit a summary of achievements and other aspects of performance. In cases of geographic separation, telephone or written exchange of information may suffice.
2. Section 1, Administrative Data. The Reported-on Officer completes all items in this section, no later than 21 days before the end of the reporting period. The Reported-on Officer is responsible for the accuracy of the information and the appropriate form for the grade. The ESS is a quick and reliable tool to validate information in Section 1.

U.S. DEPARTMENT OF HOMELAND SECURITY U.S. COAST GUARD CG-5310A (Rev. 02-09)		OFFICER EVALUATION REPORT (OER)		Validation: 	
1. ADMINISTRATIVE DATA		I understand my signature below does not constitute agreement or disagreement. I acknowledge I have reviewed this report.			
				(YYYY/MM/DD)	(YYYY/MM/DD)
a. NAME (Last)		(Initials)	b. Reported-on Officer Signature 		c. DATE OF RANK / /
d. DATE REPORTED / /		e. UNIT		f. EMPLID	g. GRADE
h. ATU - OPFAC -		i. DAYS NOT OBSERVED LV OTHER		j. PERIOD OF REPORT (YYYY/MM/DD) / / TO / /	
k. OCCASION FOR REPORT (Mark only one) <input type="radio"/> Annual/ Semianual <input type="radio"/> Detachment/Change of Reporting Officer <input type="radio"/> Detachment of Officer <input type="radio"/> Promotion		l. EXCEPTION REPORT <input type="radio"/> Special <input type="radio"/> Concurrent		m. DATE SUBMITTED / /	

Items:

- a. NAME. Last name, first and middle initials only.
- b. Reported-On Officer Signature. CWO to LCDR must review and sign (handwritten or electronic signature) in this space after the Reviewer has signed the OER but prior to submitting the OER to CG PSC-OPM-3 or CG PSC-RPM-1. When the Reported-On Officer is unavailable for signature, refer to Article 2.A.8.d of this Manual.
- c. DATE OF RANK. Date of rank in all numerals, e.g., 2009/05/04. Confirm date of rank in Direct Access, or the ESS.

- d. DATE REPORTED. Indicate the actual date reported to current PRIMARY DUTY as shown in Direct Access.
- e. UNIT. Identification of the unit to which permanently attached, e.g., MSST Los Angeles/Long Beach or MSU Savannah. For Concurrent OERs, use the temporary unit name as indicated in their orders.
- f. EMPLID. Enter Employee ID Number in this block.
- g. GRADE. Two-character pay grade, e.g., W2, O5, etc., as of the end of period date. *Frocked officers must use the report form appropriate to their pay grade, not their frocked grade.*
- h. ATU-OPFAC. This block is no longer used; **leave blank**.
- i. DAYS NOT OBSERVED. This block is no longer used; **leave blank**.
- j. PERIOD OF REPORT. The regular reporting period commences the day after the ending date of the previous regular OER or the day of commissioning (for the first OER for newly commissioned officers) and ends on the date of the occasion for the current report. (Note: The period for a promotion OER ends on the day prior to promotion.)
- k. OCCASION FOR REGULAR REPORT. Mark only one box for the occasion which has prompted the OER submission. The occasion dictates the end-of-period date. Leave blank if the report is a Special or Concurrent OER. The mark of Special takes precedence to any other Occasion For Report if more than one occasion apply.
- l. EXCEPTION REPORT. If the report is not a Regular OER per Chapters 4 and 7 of this Manual, mark either Special or Concurrent, but not both.
- m. DATE SUBMITTED. This block is no longer used; **leave blank**.

3. Section 13, RETURN ADDRESS. This block is no longer used; **leave blank**.

E. Supervisor Preparation

1. Section 2, Primary Duty.

- a. Provide the Reported-on Officer's Primary Duty title. This is defined in the unit Personnel Allowance List (PAL) as shown in Direct Access and is the position indicated on the Reported-on Officer's orders and on their ESS.

- b. If the Reported-on Officer transferred on PCS orders during the period of report the Primary Duty line can state both primary duty titles assigned during the period of report. In this case, inclusive dates may be noted. Example below:

PRIMARY DUTY: DECK WATCH OFFICER (01 FEB- 30 APR) / ENFORCEMENT DIV (01 MAY - 30 JUN)

- c. Reported-On Officers performing duties other than those assigned still list their Primary Duty title as assigned. See paragraph 2.d. below for additional information.

2. Section 2, Description of Duties.

- a. The Supervisor writes a summary of the most important aspects of the Reported-on Officer's job. Primary duties, collateral duties, special projects, key processes, and customer and supplier identities should be included. Also note conditions particular to the assignment. Include number of people supervised, funds controlled, and unit operations or organizational relationships as appropriate. Define highly technical terms or uncommon acronyms. Use a common sense approach to describe the most important duties in a manner that will be understandable to a reader unfamiliar with the officer's job.
- b. If a Reported-on Officer serves at any time during the reporting period under the direction of an officer not their primary Supervisor, the primary Supervisor should attempt to obtain from the secondary Supervisor a description of the Reported-on Officer's duties while working for the secondary Supervisor.
- c. Officers performing duties other than those assigned should start the Description of Duties with "Actual duty assigned:", e.g., Actual duty assigned: Command Duty Officer. When the Reported-on Officer transfers during the period of report and a Detachment of Officer OER is not required, then the subsequent OER may include description of both primary duties and responsibilities of those positions.
- d. Describe the duties and responsibilities for officers with limited opportunity to perform per Article 5.A.2.c.(2)(i) of Reference (a).
- e. Special or Derogatory OERs. In addition to the description of duties and responsibilities, provide a brief reason for the OER along with the authorizing articles. Refer to Chapters 4 and 5 of this Manual for additional guidance.
- f. If observations are believed to be inadequate to render a judgment, the "not observed" circle is used. The reason for the "not observed" *must be briefly stated* in Section 2 or in the appropriate "comments" blocks.

3. Section 2, Attachments.

Copies of punitive letters of censure (Reprimand and Admonition) and copies of Court Memorandums must be referred to and appended to the OER once the proceedings, including reviews and appeal, are completed, per Articles 5.A.3.e. and 5.A.7.f. of Reference (a). A written non-punitive censure may not be referred to or appended to the OER (Article 1.E.4. of the Discipline and Conduct, COMDTINST M1600.2 (series)). However, the performance which resulted in the non-punitive censure should be discussed in the OER.

4. Sections 3, 4, and 5.

- a. These sections are designed to measure an officer's demonstrated performance and qualities exhibited in three major evaluation areas:

[1] Performance of Duties

[2] Communication Skills

[3] Leadership Skills

Two or more performance dimensions (rating scales) define each evaluation area. Each performance dimension is defined in terms of three performance standards: below standard, at standard, or above standard. A space for supporting comments follows each set of dimensions.

- b. For each evaluation area, the Supervisor reviews the Reported-on Officer's performance and qualities observed and noted during the reporting period. Then, for each of the performance dimensions, the Supervisor must carefully read the standards and compare the Reported-on Officer's performance to the level of performance described by the standards. The Supervisor must take care to compare the officer's performance and qualities against the standards — not to other officers and not to the same officer in a previous reporting period. After determining which block best describes the Reported-on Officer's performance and qualities during the marking period, the Supervisor selects the appropriate circle on the form. Refer to Table 2-2 Performance Dimension Marking below in determining the appropriate mark to assign to each performance dimension. Inflationary markings dilute the actual value of each evaluation, rendering the OES and the OER itself ineffective.

MARK	MEANS THE MEMBER CONSISTENTLY
1	(Derogatory) – Met all the written performance standards in the “2” level and the rater considered the impact severely detrimental to the organization or to others.
2	(Below standard) – Met all the written performance standards in this level.
3	Did not meet all the written performance standards in the “4” block.
4	(Standard) – Met all the written performance standards for this level and none in the “6” level.
5	Met all the written performance standards in the “4” level and at least one of those in the “6” level.
6	(Above Standard)– Met all the written performance standards for this level and did not exceed any of them.
7	Met all the written performance standards in the “6” level and exceeded at least one of them.

Table 2-2 Performance Dimension Marking

- c. Where the Supervisor has insufficient information to provide a mark or if observations are believed inadequate to render a judgment, the “not observed” circle is used. The reason for the “not observed” *must be briefly stated* in Section 2 or in the appropriate “comments” blocks.
- d. In the “comments” block following each evaluation area, the Supervisor includes comments citing specific aspects of the Reported-on Officer’s performance and behavior for each mark that deviates from a four (if applicable). The Supervisor draws on their observations, those of any secondary Supervisors, and other information accumulated during the reporting period.
- e. Comments should amplify and be consistent with the numerical evaluations (if applicable). They should identify specific strengths and weaknesses in performance. Comments must be sufficiently specific to paint a succinct picture of the officer’s performance and qualities which compares reasonably with the picture defined by the standards marked on the performance dimensions in the evaluation area. Mere repetition or paraphrasing of the standards is not sufficient narrative justification for below or above standard marks.
- f. A mark of four represents the expected standard of performance. Additional specific performance observations must be included when an officer has been assigned a mark other than a four (if applicable). Those assigned the superlative mark of seven should have specific comments demonstrating how they exceeded the six standard block.
- g. Citing weaknesses does not make the OER derogatory. Derogatory OERs are identified in Article 5.A.7.c. of Reference (a).
- h. All comments must be confined to the space allotted to the Supervisor. No comments should be continued from one comment block to another.

5. Section 6, Supervisor Authentication.

6. SUPERVISOR AUTHENTICATION				(YYYY/MM/DD)
a. NAME AND SIGNATURE	b. GRADE	c. EMPLID	d. TITLE OF POSITION	e. DATE / /

- a. SIGNATURE. The Supervisor's signature verifies completion of their OES responsibilities and that comments and evaluations are correct. A typed name must accompany the signature, regardless if a hand or digital signature is used. Include Service abbreviation if other than Coast Guard.
- b. GRADE. Two-character military pay grade, or civilian equivalent, e.g., O6, GS12, etc. If frocked use frocked grade.
- c. EMPLID. Enter Employee ID Number in this block. A non-Coast Guard Supervisor leaves this block blank.
- d. TITLE OF POSITION. Examples include Chief, Administration Division; Commanding Officer.
- e. DATE. The date the Supervisor submitted the evaluation to the Reporting Officer. Enter in all numerals, e.g., 2013/05/31. The Supervisor can sign the OER prior to the end of period of report, ideally this is no earlier than 21 days.
- f. After signing the OER, the Supervisor gives it to the Reporting Officer, together with the OSF (if used), ESS, and any other authorized documentation or information.

F. Reporting Officer Preparation

1. Section 7, Reporting Officer Comments.

- a. This section provides an opportunity for the Reporting Officer to comment on the Supervisor's evaluation. Although this section is not mandatory, Reporting Officers are encouraged to cite other information and observations they may have which would confirm or provide another perspective of the Reported-on Officer's performance and qualities demonstrated during the reporting period. By doing so, the Reporting Officer gives a more complete picture of the Reported-on Officer's capabilities.
- b. Section 7 may not include continuing comments from any other comment block. However, the Reporting Officer may expand on portions of the OSF which were not discussed by the Supervisor and the Reporting Officer believes are important.
- c. The Reporting Officer Comments circle should be filled in appropriately.

2. Section 8, Personal and Professional Qualities.

- a. This section measures an officer's personal and professional qualities. Each performance dimension is defined in terms of three performance standards: below standard, at standard, or above standard. Reporting Officers must read each standard carefully. A space for supporting comments follows each set of dimensions.
- b. For this evaluation area, the Reporting Officer reviews the Reported-on Officer's performance and qualities observed and noted during the reporting period. Then, for each performance dimension, the Reporting Officer carefully reads the standards and compares the Reported-on Officer's performance to the level of performance described by the standards. The Reporting Officer takes care to compare the officer's performance and qualities against the standards - not to other officers and not to the same officer in a previous reporting period. After determining which standard best describes the Reported-on Officer's performance and qualities during the marking period, the Reporting Officer selects the appropriate mark. Refer to Table 2-2 above in determining the appropriate mark to assign for each performance dimension.
- c. Where the Reporting Officer has insufficient information to provide a mark or if observations are believed inadequate to render a judgment, the "not observed" circle should be used. The reason for the "not observed" *must be briefly stated* in the "comments" block, unless already noted in Section 2.
- d. In the "comments" block following this evaluation area, the Reporting Officer includes comments citing specific aspects of the Reported-on Officer's performance and behavior for each mark that deviates from a four. The Reporting Officer draws on his or her own observations, information provided by the Supervisor, and other information accumulated during the reporting period.
- e. Comments should amplify and be consistent with the numerical evaluations. They should identify specific strengths and weaknesses in performance. Well-written comments must be sufficiently specific to paint a succinct picture of the Reported-on Officer's performance and qualities which compares reasonably with the picture defined by the standards marked on the performance dimensions in the evaluation area. Mere repetition or paraphrasing of the standards is not sufficient narrative justification for marks.
- f. A mark of four represents the expected standard of performance. Additional specific performance observations must be included when an officer has been assigned a mark other than a four (if applicable). Those assigned the superlative mark of seven should have specific comments demonstrating how they exceeded the six standard block.
- g. Any officer who receives an Alcohol (AI) or Drug Incident (DI) has not met the expected standards of performance for the Judgment performance dimension. Therefore, a mark of '4' or higher in the Judgment performance dimension is not authorized. Rating chains may determine whether substandard performance of this nature should impact other OER performance dimensions (i.e., Responsibility,

Professional Presence, etc.).

- h. The date the Commanding Officer determines an AI or DI occurred is the determinant for which OER period should be impacted, not the actual date of the incident. For example, a CDR receives a DUI on 22 March and is issued an AI memo on 12 April. If the CDR is on a regular annual OER submission schedule, the AI shall be reflected in the next OER cycle which starts on 01 April.
 - i. Any officer who receives either an AI/DI or is not compliant with USCG weight and body fat standards has not met the expected standards of performance for the Health and Well-Being performance dimension. Therefore, a mark of '4' or higher in the Health and Well-Being performance dimension is not authorized.
 - j. Officers found non-compliant with USCG weight and body fat standards shall have this documented in the OER period in which non-compliance occurred (i.e. April weigh-in, October weigh-in, weigh-in for pre-Resident Training, weigh-in for a reservists ordered to active duty, etc). Officers who have an approved medical abeyance for weight from CG PSC- Personnel Service Division (PSD) are excluded from this requirement.
 - k. Citing weaknesses does not make the OER derogatory. Derogatory OERs are identified in Article 5.A.7.c. of Reference (a).
 - l. All comments must be confined to the space allotted to the Reporting Officer. No comments should be continued from one comment block to another.
3. Section 9, Comparison, Promotion, and Rating Scales.
- a. Comparison Scale (W2 to O2, O3 to O4, and O5 forms). The Reporting Officer fills in the circle that most closely reflects the Reporting Officer's ranking of the Reported-on Officer relative to all other officers of the same grade the Reporting Officer has known. [NOTE: This section represents a relative ranking of the Reported-on Officer, not necessarily a trend of performance. Thus, from period to period, an officer could improve in performance but drop a category.]
 - b. Promotion Scale on Officer Evaluation Report (OER), Form CG-5310C. In addition to the comparison scale, the Reporting Officer is required to fill in one Promotion Scale mark. For the Promotion Scale, the Reporting Officer must select "Recently promoted to O5" if that applies, and may select "Already selected to O6", if applicable. The Reporting Officer may still make a promotion recommendation for any officer whose promotion is still pending and is not obligated to mark "Already selected to O6".
 - c. Rating Scale on Officer Evaluation Report (OER), Form CG-5310D. The Reporting Officer fills in the circle that most closely reflects the Reported-on Officer's performance in consideration of information contained in the OER.
 - d. A mark of "unsatisfactory" defines the report as Derogatory and requires compliance

with Article 5.A.7.c. of Reference (a).

- e. Insufficient Opportunity to Make Judgment. No mark need be entered if there were insufficient opportunities to make a judgment. In this case the Reporting Officer should indicate so with a short statement in Section 10.
- f. The Reporting Officer is required to provide the Reviewer with a copy of their most recent rating scale history. Non-Coast Guard Reporting Officers or civilians are not required to provide a rating scale history. The Reporting Officer provides the Reviewer their rating history for the Block 9 Comparison Scale. The Reporting Officer can obtain their rating scale history in Direct Access as follows: HOME > SELF SERVICE > EMPLOYEE > VIEW > OFF COMPARISON SCALE SUMMARY.

4. Section 10, Potential.

- a. Requirement. The Reporting Officer comments on the Reported-on Officer's potential for greater leadership roles and responsibilities in the Coast Guard.
- b. No specific comments are required to support the Reporting Officer's judgment in Section 9, Comparison and Rating Scales. However, a mark other than in the center three circles is strengthened considerably if there are comments in the report from which one could reasonably draw a conclusion why this particular officer has been identified as different from the majority of officers of this grade.
- c. Content of Comments. Comments in this section reflect the judgment of the Reporting Officer and may include, but are not limited to, the following:
 - [1] Qualification to assume the duties of the next grade.
 - [2] Specialties or types of assignment, such as command, or post-graduate education for which the Reported-on Officer is qualified or shows aptitude.
 - [3] Special talents or skills (or lack of) such as military readiness and warfare skills, seamanship or airmanship, etc., as applicable.
- d. Length of Comments. Comments must be confined to the allotted space on the form.

5. Section 11, Reporting Officer Authentication.

11. REPORTING OFFICER AUTHENTICATION				(YYYY/MM/DD)
a. NAME AND SIGNATURE	b. GRADE	c. EMPLID	d. TITLE OF POSITION	e. DATE
				/ /

- a. SIGNATURE. The Reporting Officer's signature verifies completion of OES responsibilities and that comments and assigned marks are correct. A typed name must accompany the signature, regardless if a hand or digital signature is used. Include Service abbreviation if other than Coast Guard.
- b. GRADE. Two-character military pay grade, or civilian equivalent, e.g., O6, GS14,

etc. If frocked use frocked grade.

- c. EMPLID. Enter Employee ID Number. A non-Coast Guard Reporting Officer leaves this blank.
- d. TITLE OF POSITION. Examples include Chief, Administration Division; Commanding Officer.
- e. DATE. The date the Reporting Officer submitted the evaluation to the Reviewing Officer. Enter date using a numeric format, e.g., 2013/05/31. Because this date indicates when OES responsibilities were completed, *a date preceding the end-of-period is prohibited*.

G. Reviewer Preparation

1. Section 12, Reviewer Authentication.

12. REVIEWER AUTHENTICATION		a. COMMENTS ATTACHED: (Required when the Reporting Officer is not a CG Officer or CG SES or when Reported-on Officer is unable to review OER.)		
b. NAME AND SIGNATURE	c. GRADE	d. EMPLID	e. TITLE OF POSITION	f. DATE
				/ /

- a. COMMENTS ATTACHED. If Reviewer Comments, Form CG-5315 (series) are attached click the “Comments Attached” box in Block 12a. This is very important when optional Reviewer Comments are attached to ensure CG PSC-OPM-3 or CG PSC-RPM-1 receives and reviews them.
 - b. SIGNATURE. The Reviewer’s signature verifies that the OER has been completed properly and per these instructions. A typed name must accompany the signature, regardless if a hand or digital signature is used.
 - c. GRADE. Two-character military pay grade or civilian equivalent, e.g., O6, SES 1, etc. If frocked use frocked grade.
 - d. EMPLID. Enter Employee ID Number.
 - e. TITLE OF POSITION. Examples include Chief, Administration Division; Commanding Officer; Chief, Officer Personnel Management Division.
 - f. DATE. The date the Reviewer completed the review. Enter a date using a numeric format, e.g., 2013/05/31. Because this date indicates when OES responsibilities were completed, *a date preceding the end-of-period is prohibited*.
2. Reviewer Comments. Refer to Chapter 3 of this Manual for guidance.

CHAPTER 3. REVIEWER COMMENTS

A. General

1. Reviewers desiring to attach comments to the OER must restrict their comments to a maximum of one page of Reviewer Comments, Form CG-5315 (series). *The Comparison Scale is not to be completed unless the Reviewer Comments, Form CG-5315 (series) are mandatory* per Article 5.A.2.d.(4)(b)[2] of Reference (a). Additionally, the Reviewer limits comments to performance or behavior observed during the reporting period and/or discussion of the Reported-on Officer's potential.
2. The Reviewer adds comments as necessary, using Reviewer Comments, Form CG-5315 (series), which further addresses the performance and/or potential of the Reported-on Officer not otherwise provided by the Supervisor or Reporting Officer. For any officer whose Reporting Officer is not a Coast Guard commissioned officer, member of the Coast Guard SES, or the USPHS flag officer serving as Director of Health and Safety, Commandant (CG-11), the Reviewer describes the officer's "Potential" and includes an additional Comparison Scale, Promotion Scale, and Rating Scale, mark as appropriate. See Article 5.A.2.d.(4)(b)[2] of Reference (a) for circumstances when Reviewer Comments are mandatory or optional.

B. Preparation

1. When adding comments, the Reviewer clicks the "Comments Attached" box in Block 12.a.
2. Mandatory Reviewer Comments. Comments and a Comparison/Rating Scale mark are required on the Reviewer Comments, Form CG-5315 (series), when the Reporting Officer is not a Coast Guard Officer, Coast Guard Senior Executive Service (SES) member, or the USPHS flag officer serving as Director of Health and Safety, Commandant (CG-11); as per Article 5.A.2.d.(4)(b)[2] of Reference (a). Those OERs submitted for Continuity purposes, regardless of who the Reporting Officer is, are excluded.
3. Optional Reviewer Comments.
 - a. The Reviewer may comment on the Reported-on Officer's performance, qualities, potential, or value to the Coast Guard if these areas need to be expanded or further explained.
 - b. *The Comparison Scale, Promotion Scale, and Rating Scale are not to be completed unless the Reviewer Comments are mandatory.*
 - c. The Reviewer may explain or reconcile discrepancies or conflicts reflected in the completed report, if these inconsistencies cannot be resolved by returning the report to the concerned rating chain members or through personal discussions.

- d. Optional Reviewer Comments, Form CG-5315 (series) are not authorized if the Reviewer is also the Reporting Officer.
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CHAPTER 4. SPECIAL OERS

A. General

1. Special OERs present unique preparation requirements for members of the rating chain and the Reported-on Officer. Rating Chains *are strongly encouraged* to contact CG PSC-OPM-3 or CG PSC-RPM-1 for guidance prior to preparing these reports.
2. The circumstances for the Special OER must relate to one of the situations described in Article 5.A.3.e.(1) through 5.A.3.e.(5) of Reference (a). The authorizing article must be cited in Section 2 of the OER along with a brief description of the circumstances which prompted the OER's submission. [Example: "This OER is submitted per COMDTINST M1000.3 (series), Article 5.A.3.e.--) due to ..."]. The authorizing articles are then followed by a brief summary of the primary duties and responsibilities.
3. Copies of punitive letters of censure (Reprimand and Admonition), and copies of Court Memorandums must be referred to and appended to the Special OER. Refer to Article 2.E.3 of this Manual for required attachments to OERs.
4. A Special OER *can* be defined as Derogatory as per Article 5.A.7.c of Reference (a). Refer to Chapter 5 of this Manual for Derogatory OER procedure guidance. Not all Special OERs are Derogatory, nor are all Derogatory reports Special OERs.

B. Types of Special OERs

1. Subsequent to Sub-Standard Performance or Conduct.
 - a. Period of Report: The "From" date is the day after the last period of report ends. The "To" date is the day the rating chain or chain of command directed the completion of the OER. A Special OER may be completed to document performance or conduct that is sub-standard but does not necessitate a removal from duties if deferring the report until the next regular report would preclude documentation to support adequate personnel management decisions, such as selection, retention, or reassignment.
 - b. Description of Duties: Include the following statement, "This OER is submitted per COMDTINST M1000.3 (series), Article 5.A.3.e.(1) due to Sub-Standard Performance or Conduct."
 - c. All performance dimensions are evaluated; at least one performance dimension is marked to document performance or conduct which is sub-standard, i.e., below a mark of a four. Additionally, the Potential Section must mention the officer's ability to assume greater leadership roles and responsibilities.
 - d. If the sub-standard performance or conduct results in a Removal from Primary Duties (RPD) or Relief For Cause (RFC) then refer to Articles 5.A.3.e(1)(b) and 5.A.7.c of Reference (a) and Chapter 5 of this Manual for Derogatory OER procedures.

2. Subsequent to Disciplinary Action.

a. PERIOD OF REPORT. The “From” and “To” date will be the same day. The period for this Special OER will be the day that all proceedings were completed. Exception: unless the Reported-on Officer is Removed from Primary Duties (RPD) or Relieved For Cause (RFC), follow period of report procedures for Special OERs for Subsequent to Sub-Standard Performance or Conduct.

b. DESCRIPTION OF DUTIES. Include the following statement, “This OER is submitted per COMDTINST M1000.3 (series), Article 5.A.3.e.(2) due to...”

[1] NJP: List UCMJ article and description of article, e.g., Article 128-Assault, and the punishment.

[2] Civil Conviction: List charges and punishment.

[3] Investigation: List findings of the investigation.

c. The performance evaluation describes the unacceptable conduct and is not merely referencing the type of proceeding. The conduct itself reflects negatively on the Coast Guard and requires documentation. It is the NJP, civil conviction, or investigation that prompts the report and therefore any discussion on conduct associated with them is considered within the period of report. Ex. An officer has a prohibited relationship over a six-month period and an investigation is initiated and completed by the command after the fact. The commanding officer receives the results of the investigation and decides a Special OER is justified. The Special OER’s period of report would be the date the investigation was completed and can discuss the officer’s conduct during the previous six month relationship.

d. The report must clearly state:

[1] The nature of the proceeding prompting the report and the result of the proceeding, e.g., criminal conviction, non-judicial punishment, or final reviewing authority’s action directing a special OER due to criminal culpability.

[2] Any punishment imposed as a result of criminal conviction or non-judicial punishment.

[3] Other information as necessary to accurately reflect the performance being evaluated. Information about the proceeding may be included in the report even if the proceeding took place outside of the reporting period. The evaluation is limited to those areas affected by such conduct, since all other dimensions will be evaluated in the regular OER. Any dimension which is not evaluated is marked "not observed". A Section 9 Comparison, Promotion or Rating Scale mark and Section 10 comments on the officer’s potential are required.

3. For Consideration by Selection Panels or Boards.

- a. Description of duties: Include the following statement, “This OER is submitted per COMDTINST M1000.3 (series), Article 5.A.3.e(3) due to...”, e.g., Junior Command Screening Panel on 2013/11/11.
- b. The period of report must be at least 92 days for semiannual schedule and 182 days for an annual or biennial submission schedule and the OER must arrive at CG PSC-OPM-3 or CG PSC-RPM-1 with sufficient time for processing, validation, and entry into the EI-PDR prior to the Selection Board or Panel.

4. To Document Significant Historical Performance. Special OERs may be submitted to document *significant historical performance or behavior of substance and consequence* which were unknown when a previous OER was prepared and submitted. This report should not normally reflect performance reportable under Article 5.A.3.e(4) of Reference (a). The OER should address only the performance dimensions relevant to the Special OER since all other performance dimensions will have been addressed in the previously submitted OER.

- a. The Reviewer must be a flag officer. For ensigns, the Reporting Officer must obtain flag officer approval and state the same in Block 2 (e.g. “Authorized by D11/d”).
- b. When drafting a Historical OER all policies and procedures that were in place at the time of the original OER must be used.
- c. The corresponding form and series that was originally used applies. When the previously unknown performance or conduct occurred at the previous pay grade, the appropriate form is used for that previous grade, e.g., a Lieutenant gets a Historical OER for conduct as a Lieutenant (junior grade) the form for a LTJG is used along with the revision that was in effect at the time.
- d. The period of report is identical to the OER that is being augmented.
- e. Only the performance dimensions that were affected by the unknown performance or conduct should be marked and commented on. The marks and comments should be written as if they were replacing the marks and comments on the original OER and the totality of the performance that occurred during the entire period of report should be taken into consideration. This type of Special OER augments the original OER for which the performance or conduct occurred. Unaffected performance dimensions should be marked “not observed” on the Special OER.
- f. If a member of the rating chain is no longer available then a rating chain exception can be issued to re-designate the rating chain appropriately.
- g. If the historical performance overlaps two periods of report then two separate Special OERs would be required to document the previously unknown performance.

CHAPTER 5. DEROGATORY REPORTS

A. General

1. This section will help the rating chain and Reported-on Officers complete a Derogatory OER and addendum. *Rating chains, including the Reported-on Officer are strongly encouraged to contact CG PSC-OPM-3 or CG PSC-RPM-1 for guidance in preparing a Derogatory OER.*
2. Derogatory reports are OERs that indicate the Reported-on Officer has failed in the accomplishment of assigned duties. Derogatory reports are only those OERs which:
 - a. Contain a numerical mark of one in any performance dimension, and/or
 - b. Contain an “unsatisfactory” mark by the Reporting Officer in Section 9, and/or
 - c. Document conduct or performance which is adverse or below standard and results in Removal from Primary Duties or Relief for Cause (RFC).

B. Preparation

1. Section 1, Administrative Data. Completed as per Chapter 2.
2. Section 2, Description of Duties. The OER shall clearly state, “Per Article 5.A.7.c. of M1000.3 (series), this OER is a Derogatory report.”

C. Processing

1. After both the Supervisor and Reporting Officer sign the OER, and either the required or optional Reviewer Comments, CG-5315 (series) are completed and signed, the Reporting Officer provides a copy to the Reported-on Officer requesting that an addendum be prepared. The Reported-on Officer’s addendum does not constitute an official request for correction of a record but provides the Reported-on Officer an opportunity to explain the failure or provide their view of the performance in question. Commenting or declining comment does not preclude the Reported-on Officer from filing an official request for correction of the record as per Reference (b) or submitting an OER Reply per Article 5.A.7.e of Reference (a). Refer to Appendix C for an outline of the OER addendum process.
2. After completing the addendum, the Reported-on-Officer forwards the OER along with the addendum to the Supervisor. The Supervisor and the Reporting Officer must be afforded the opportunity to address the Reported-on Officer’s addendum. In all cases, the rating officials each endorse the addendum by signature at a minimum. The Reporting Officer will then forward the OER and attachments to the Reviewer. Note: there is no Reviewer role in an ensign evaluation.
3. *If the Reported-on Officer declines to make an addendum they shall so indicate by attaching the following statement: “I am aware of the contents of the performance report*

and decline comment.” An addendum by the Reported-on Officer must be made within 14 calendar days of receipt of the OER unless an extension is specifically requested and received from CG PSC-OPM-3 or CG PSC-RPM-1. If the Reported-on Officer fails to provide either an addendum or the above statement within 14 days, the Reporting Officer shall forward the OER to the Reviewer noting that an addendum was solicited and not received. In such cases, the Reviewer shall prepare a Reviewer Comments, CG-5315 (series) specifically stating that an addendum was solicited but not received.

4. The Reviewer ensures that the evaluation of the Reported-on Officer is consistent and that the derogatory information is substantiated. If the Reviewer finds otherwise, they return the report to the Reporting Officer for additional information and/or clarifying comments. Substantive changes to the OER require its return to the Reported-on Officer to provide another 14-day opportunity for the Reported-on Officer to revise the addendum. For ensign evaluations, this role is fulfilled by the Reporting Officer.
5. If no substantive changes are required and after the addendum process has been completed the Reviewer signs and dates the OER.
6. CWO to LCDR must review and sign (handwritten or electronic signature) the OER after the Reviewer has signed prior to submitting the OER to CG PSC-OPM-3 or CG PSC-RPM-1. When the Reported-On Officer is unavailable for signature refer to Article 2.A.8.d of this Manual.
7. Since the above procedure does not constitute a request for correction of the record, the Reported-on Officer limits the addendum to a maximum of two single-spaced pages (8½” x 11”) typed on one side with no enclosures (font New Times Roman, minimum 12 point font size). Rating chain members, addressing the Reported-on officer’s addendum, must each limit their comments to a maximum of one single-spaced page (8½” x 11”) typed on one side with no enclosures (font New Times Roman, minimum 12 point font size).
8. Addendum comments should be performance-oriented, either addressing performance not contained in the OER or amplifying the reported performance. All restrictions outlined in Article 5.A.7.f of Reference (a) apply. Comments pertaining strictly to interpersonal relations or a personal opinion of the abilities or qualities of a rating chain member are not permitted.
9. Format for Addendum. Sample is provided in Appendix B of this Manual.
10. Rating chains writing a derogatory evaluation for an ensign will follow procedures described in Chapter 11 since a Reviewer does not apply.

CHAPTER 6. REPORTED-ON OFFICER REPLY**A. General**

The Reported-on Officer may reply to any OER. Replies provide an opportunity for the Reported-on Officer to express a view of performance which may differ from that of a rating official. Reported-on Officers *are strongly encouraged* to contact CG PSC-OPM-3 or CG PSC-RPM-1 for guidance prior to preparing an OER Reply.

1. Content of Replies. Comments should be performance-oriented, either addressing performance not contained in the OER or amplifying the reported performance. Restrictions outlined in Article 5.A.7.f. of Reference (a) apply. Comments pertaining strictly to interpersonal relations or a personal opinion of the abilities or qualities of a rating chain member are not permitted.
2. Submission of Replies. Reported-on Officer's OER Reply must be submitted to CG PSC-OPM-3 or CG PSC-RPM-1 via the original rating chain. If the whereabouts of the original rating chain members are unknown, submit the OER Reply directly to CG PSC-OPM-3 or CG PSC-RPM-1 who will forward the Reply to the rating chain.
3. Timeline for Submission of Replies to Supervisor. Replies must be submitted to the Supervisor within 21 days from receipt of the original, validated OER from CG PSC-BOPS-C-MR, Military Records Section. Replies based upon receipt of local copies will not be accepted.

B. Format of OER Replies

Follow the Memorandum format as per the Coast Guard Correspondence Manual, COMDTINST M5216.4 (series). A sample is provided in Appendix D of this Manual. Reported-on Officers must limit their Reply to a maximum of two single-spaced pages (8½" x 11") typed on one side with no enclosures. Each rating chain member responding to the Reply limits their endorsement to a maximum of one single-spaced page (8½" x 11") typed on one side with no enclosures. If a rating chain member elects not to respond with an endorsement to the Reply, they must initial and date in the thru block of the Reply, and forward through the rating chain.

C. Record Correction

Any rating chain member who, upon reviewing a Reported-on Officer's OER Reply, finds reason to concur that an error of fact may be present in the OER should comment in their endorsement and assist the officer in following the records correction procedures in Reference (b), Correcting Military Records, COMDTINST 1070.1 (series).

CHAPTER 7. CONCURRENT OERS

A. General

This section describes the procedures for preparing and processing a Concurrent OER. All general guidance and restrictions provided in Chapter 2.A. through 2.B. of this Manual apply to Concurrent OERs.

B. Function of the Concurrent OER

Concurrent OERs serve as a vehicle for documenting performance away from the permanent unit. A Concurrent OER covers performance observed by a rating chain other than the permanent unit, e.g., senior aviator deployed aboard a Coast Guard icebreaker. The Concurrent OER will be written upon the detachment of the officer and cover only the period of temporary duty. The Concurrent OER provides a record of significant performance that was not directly observed by the rating chain from the permanent unit. The Concurrent OER rating chain has the option to complete the Concurrent OER on either the one page Concurrent OER form or the regular three page OER form. *Since the Concurrent OER form only has a two-person rating chain, it is recommended, but not required, that the Reporting Officer be a Coast Guard military officer or member of the Coast Guard Senior Executive Service since no Reviewer Comments can be submitted.* Requirements in Article 5.A.2.d(3) of Reference (a) still apply.

C. Forms

The following forms should be used:

GRADE	THREE PAGE OER	ONE PAGE CONCURRENT
Captain	CG-5310D	CG-5310L
Commander	CG-5310C	CG-5310K
Lieutenant Commander	CG-5310B	CG-5310J
Lieutenant	CG-5310B	CG-5310J
Lieutenant (junior grade)	CG-5310A	CG-5310I
Ensign	CG-5310E (one page form)	CG-5310H
Chief Warrant Officer	CG-5310A	CG-5310I

Table 7-1 Concurrent OER Forms

D. One page Concurrent OER form preparation

1. Reported-on Officer Prepares Section 1 of the one page Concurrent OER form:

Section 1, Administrative Data. The Reported-on Officer completes all items in this section. The Reported-on Officer is responsible for the accuracy of the information and the appropriate form for the grade.

Items:

- a. NAME. Last name, first and middle initials only.
- b. Reported-On Officer Signature. CWO to LCDR must review and sign (handwritten or electronic signature) in this space after the Reporting Officer has signed the OER but prior to submitting the OER to CG PSC-OPM-3 or CG PSC-RPM-1. When the Reported-on Officer is unavailable for signature refer to Article 2.A.8.d of this Manual.
- c. DATE OF RANK. Date of rank in all numerals, e.g., 2009/05/31. Confirm date of rank in Direct Access, or the ESS.
- d. DATE REPORTED. Indicate the actual date of reporting to temporary assignment.
- e. PERMANENT UNIT. Identification of the unit to which *permanently* attached.
- f. EMPLID. Enter Employee ID Number in this block.
- g. GRADE. Two-character pay grade, e.g., W2, O5, etc. as of the end of period date. *Froked officers must report their actual pay grade and use the report form appropriate to their pay grade, not their froked grade.*
- h. OFFICER STATUS/ORDERS. Mark only one.
- i. PERIOD OF REPORT. The concurrent reporting period commences the first day of orders to the temporary unit and ends on the date of separation from the assignment, as recorded as the last day of orders.
- j. OCCASION FOR REPORT. Mark only one box for the occasion which has prompted the OER submission.

2. Supervisor Preparation

Prepares the Supervisor's Sections (2-4) of the one page Concurrent OER.

- a. Section 2, Position Assigned/Unit where duty performed.

Provide the description of the Reported-on Officer's position title along with the unit or operation to which assigned. This information should be located in the orders.

Examples:

MIL AIDE TO DEPUTY NATION INCIDENT COMMANDER/ DEEPWATER HORIZON

LEGAL INTERN /PACIFIC AREA STAFF JUDGE ADVOCATE OFFICE

b. Section 2, Description of Duties.

- (1) Summarize goals and objectives for period of report. The Supervisor writes a summary of the most important aspects of Reported-on Officer's job. Use common sense approach to describe the most important duties in a manner that will be understandable to a reader unfamiliar with the officer's job.
- (2) Describe duties and responsibilities to provide an overall understanding of the job. Also note conditions particular to the assignment. Include number of people supervised, funds controlled, and unit operation or organizational relationship as appropriate. Define highly technical terms and uncommon acronyms. Comments must be clear and concise and confined solely to the space allotted on the form.

c. Section 3, Detailed Description of Accomplishments/Performance.

- (1) This section is designed to measure an officer's demonstrated performance and qualities exhibited with performing duties away from their permanent unit.
- (2) The Supervisor includes comments that best characterize the officer's performance and conduct. Well-written comments must be sufficiently specific to paint a succinct picture of the officers' performance and qualities. Omit superlative objectives, needless statistics, and imprecise phrasing. Describe the officer's accomplishments and performance that have been observed during the period. The Supervisor should recount specific details or achievements and describe results or impact.
- (3) Don't necessarily fill the entire space. Given the smaller space available the emphasis is upon "best characterizing" the officer in place of unsubstantiated superlatives.

d. Section 4, Supervisor Authentication.

- (1) SIGNATURE. The Supervisor's signature verifies completion of their OES responsibilities and that comments are correct. A typed name must accompany the signature, regardless of whether a hand or digital signature is used. Include service abbreviation if other than Coast Guard.
- (2) GRADE. Two-character military pay grade, or civilian equivalent, e.g., O6, GS12, etc. If frocked use frocked grade.
- (3) EMPLID. Enter the Employee ID Number in this block. A non-Coast Guard Supervisor leaves this block blank.
- (4) TITLE OF POSITION. Examples include Chief, Administration Division; Commanding Officer.

(5) DATE. The date the Supervisor submitted the evaluation to the Reporting Officer. Enter in all numerals, e.g., 2010/04/25.

(6) After signing the OER, the Supervisor forwards it to the Reporting Officer, together with the OSF (if used), and any other authorized documentation or information.

3. Reporting Officer Preparation

Prepares the Reporting Officer's Sections (5-6) of the one page Concurrent OER.

a. Section 5, Comparison, Promotion and Rating Scale

(1) Comparison Scale (W2 to O2, O3 to O4, and O5 forms). The Reporting Officer fills in the circle that most closely reflects the Reporting Officer's ranking of the Reported-on Officer relative to all other officers of the same grade the Reporting Officer has known. NOTE: This section represents a relative ranking of the Reported-on Officer, not necessarily a trend of performance. Thus, from period to period, an officer could improve in performance but drop a category.

(2) Promotion Scale (O5 form). In addition to the comparison scale, the Reporting Officer is required to fill in one Promotion Scale mark. For the Promotion Scale, the Reporting Officer must select "Recently promoted to O5" if that applies, and may select "Already selected to O6", if applicable. The Reporting Officer may still make a promotion recommendation for any officer whose promotion is still pending and is not obligated to marking "Already selected to O6".

(3) Rating Scale (O6 form). The Reporting Officer fills in the circle that most closely reflects the Reported-on Officer's performance in consideration of information contained in the OER.

(4) Mandatory Reviewer comments do not apply when the one page Concurrent OER form is used (see Ch. 3).

b. Section 6, Reporting Officer Authentication

(1) SIGNATURE. The Reporting Officer's signature verifies completion of OES responsibilities and that comments and assigned marks are correct. A typed name must accompany the signature, regardless of whether a hand or digital signature is used. Include Service abbreviation if other than Coast Guard.

(2) GRADE. Two-character military pay grade, or civilian equivalent, e.g., O6, GS14, etc. If frocked use frocked grade.

(3) EMPLID. Enter Employee ID Number. Non-Coast Guard Reporting Officers leave this blank.

(4) TITLE OF POSITION. Examples include Chief, Administration Division; Commanding Officer.

(5) DATE. The date the Reporting Officer submitted the evaluation to CG PSC-OPM-3 or CG PSC-RPM-1. Because this date indicates when OES responsibilities were completed, *a date preceding the end-of-the-period is prohibited*. Enter date using a numeric format, e.g., 2010/11/22.

E. Three page Concurrent OER form preparation.

1. Section 1, Administrative Data. The Reported-on Officer completes all items in this section. The Reported-on Officer is responsible for the accuracy of the information and the appropriate form for the grade.

Items:

- a. NAME. Last name, first and middle initials only.
- b. Reported-On Officer Signature. CWO to LCDR must review and sign (handwritten or electronic signature) in this space after the Reviewer has signed the OER but prior to submitting the OER to CG PSC-OPM-3 or CG PSC-RPM-1. When the Reported-On Officer is unavailable for signature refer to Article 2.A.8.d of this Manual.
- c. DATE OF RANK. Date of rank in all numerals, e.g., 2009/05/04. Confirm date of rank in Direct Access, or the ESS.
- d. DATE REPORTED. Indicate the actual date of reporting to temporary assignment.
- e. UNIT. Identification of the unit as indicated in their orders or name of operations to which temporarily assigned, e.g., National Incident Command, Deepwater Horizon Incident.
- f. EMPLID. Enter Employee ID Number in this block.
- g. GRADE. Two-character pay grade, e.g., W2, O5, etc., as of the end of period date. *Frocked officers must use the report form appropriate to their pay grade, not their frocked grade.*
- h. ATU-OPFAC. This block is no longer used; **leave blank**.
- i. DAYS NOT OBSERVED. This block is no longer used; **leave blank**.
- j. PERIOD OF REPORT. The concurrent reporting period commences the first day of orders to the temporary unit and ends on the date of separation from the assignment, as recorded as the last day of orders.
- k. OCCASION FOR REGULAR REPORT. Leave blank since the report is a Concurrent OER.

1. EXCEPTION REPORT. Mark Concurrent circle.
 - m. DATE SUBMITTED. This block is no longer used; **leave blank**.
 2. Section 13, RETURN ADDRESS. This block is no longer used; **leave blank**.
 3. Supervisor Preparation
 - a. Section 2, Primary Duty. Provide the Reported-on Officer's Primary Duty title. Provide the description of the Reported-on Officer's position title along with the unit or operation to which assigned. This information should be located in the orders.
 - b. Section 2, Description of Duties. Refer to Article D.2.b. above for guidance.
 4. Reference Chapter 2 of this Manual for guidance for on Sections 3-13.
-

CHAPTER 8. DUTY UNDER INSTRUCTION (DUINS) OERS

A. General

This section describes the procedures for preparing and processing Officer Evaluation Report (OER): Duty Under Instruction (DUINS), Form CG-5310F. All general guidance and restrictions provided in Chapter 2.A through 2.B. of this Manual apply. Advance Education Program Managers should ensure information provided is accurate. DUINS policy is outlined in Article 5.A.5 of Reference (a).

B. Function of the DUINS OER

The DUINS OER serves as a vehicle to capture academic performance while assigned to Postgraduate/Advanced Education (PG/Adv Ed) programs. These procedures are used in conjunction with the policies found in Reference (a).

C. Preparation

1. Section 1, Administrative Data. The Reported-on Officer provides all items in this Section to the Program Manager. The Reported-on Officer is responsible for the accuracy of the information and the appropriate form for the grade.

Items:

- a. NAME. Last name, first and middle initials only.
- b. EMPLID. Enter Employee ID Number in this block.
- c. Grade. Two-character pay grade, e.g., W2, O5, etc., as of the end of period date.
Froked officers must report their actual pay grade, not their froked grade.
- d. DATE OF RANK. Date of rank in all numerals, e.g., 2009/05/04. Confirm date of rank in Direct Access, or the ESS.
- e. DATE REPORTED. Indicate the actual date of reported to the program. Enter date in the same format as d. above.
- f. UNIT. The name of school, college, or university being attended or designation of industry training, e.g., UC Berkeley, Boalt Hall School of Law.
- g. PERIOD OF REPORT. The regular reporting period commences the day after the ending date of the previous regular OER and ends on the date of the occasion for the report. Dates are entered in the same format as d. above.
- h. OCCASION FOR REGULAR REPORT. Mark "Annual" or "Detachment of Officer" as the occasion for the report. *All DUINS OER submissions regardless of pay grade are annual and end on 30 June (exception: detachment of officer).*

2. Section 2, Primary Duty, Description of Duties and Attachments.

- a. PRIMARY DUTY. Identify the program or degree sought or earned, e.g., PG-LAW (JD), PG- ACQUISITION PROJECT MANAGEMENT.
- b. DESCRIPTION OF DUTIES. General description of program is limited to Senior Service Schools and those PG/ Adv Ed programs that do not have grades, e.g., Flight School, Industry Training, etc.
For Academic courses at civilian colleges/universities use the format below:
DUINS: college or institution name

DUINS PROGRAM TITLE: program name, e.g., Information Technology.

DEGREE: type & major, e.g., Master of Science in Information Technology.

- c. ATTACHMENTS. List documents attached to the OER. Letter reports signed by school officials are not accepted as attachments for DUINS programs that provide official transcripts or degrees. For those DUINS programs at institutions that do not provide official transcripts or degrees, letter reports signed by school officials are required at the completion of a DUINS assignment, e.g., RAND, SLOAN, etc. Do not attach transcripts or diplomas.

3. Sections 3, Educational Accomplishments.

- a. As applicable to the program being attended, course titles, term/phase, grades, and credit must be listed. Include all courses that appear on transcripts for each semester, regardless of grade or standing, include withdrawals ("W") and incompletes ("I").
- b. No other comments are authorized in this section.

4. Section 4, Comments.

- a. Grade point averages for each semester and the cumulative grade point average must be listed in Block 4.
- b. Any additional information required in Section 3 can be extended to Section 4 if more than 20 academic courses were completed during the marking period. Additionally, if the grading system requires explanation this section can be utilized.
- c. Enter completion date of degree, do not forecast completion of degree.
- d. This section is used to document failure to adhere to common professional values and Service standards when the Reported-on Officer failed to meet minimum standards of weight or sobriety due to Alcohol Incidents, Drug Incidents and noncompliance with Weight and Body Fat Standards (see Reference (a), Article 5.A.7.g.).

5. Section 5, Program Manager Authentication.

- a. SIGNATURE. The Program Manager's signature verifies completion of OES responsibilities and that grades and comments are correct. A typed name must accompany the signature, regardless of whether a hand or digital signature is used.
 - b. GRADE. Two-character military pay grade, or civilian equivalent, e.g., O6, GS14, etc. If frocked use frocked grade.
 - c. EMPLID. Enter Employee ID Number.
 - d. TITLE OF POSITION. Examples include Financial Management Program Manager and Coast Guard Liaison Officer Pensacola.
 - e. DATE. The date the Program Manager completed review of the evaluation. Enter date using a numeric format, e.g., 2013/06/30. *A date preceding the end-of-the-period is prohibited.*
 - f. Article 5.A.5.b(2) of Reference (a) still applies and the Program Manager's signature must be a Coast Guard flag officer or Coast Guard Senior Executive Service member for captains who attend a DUINS program.
6. Reviewer Comments. Reviewer Comments, Form CG-5315 (series) are optional when the Officer Evaluation Report (OER): Duty Under Instruction (DUINS), Form CG-5310F *is not* used (e.g. SSG). When used, Reviewer Comments follow the format specified in Chapter 3 of this Manual. Program Managers may use an Administrative Remarks, CG-3307, PD-06 General Positive to comment on the Reported-on Officer's academic or training achievements.

D. Detachment versus Removal from Primary Duties (RPD)

An officer in a DUINS program may be disenrolled from the program as the result of academic performance or a decision by the program manager. Normally an officer who is removed from primary duties requires a Special OER, however, officers attending a DUINS program may not require the same if the removal was for academic and/or training reasons beyond the officer's capabilities. The program manager should contact CG PSC-OPM-3 for guidance as to whether to complete a Detachment of Officer – DUINS report, or a Special OER for a removal from primary duties (Ch. 4.B). Those officers who require the completion of a Special OER to document a removal from primary duties may not use the Officer Evaluation Report (OER): Duty Under Instruction (DUINS), Form CG-5310F.

CHAPTER 9. CONTINUITY OERS

A. General

Continuity OERs, CG-5310G, may be submitted in cases where an OER is required by policy, but full documentation is impractical, impossible to obtain, or does not meet OES goals. Continuity OER policy is outlined in Article 5.A.6 of Reference (a).

1. Reserve Specific. CG PSC-RPM-1 shall complete a Continuity OER for officers assigned to the Individual Ready Reserve (IRR), or the Standby Reserve (Active Status) (ASL). The OER shall encompass the entire period the officer was in the IRR or ASL. Exception: For officers being considered for promotion during a particular year (even if Reported-on Officer is still in the IRR or ASL) a Continuity OER shall be submitted and shall not be delayed past the scheduled submission date.
 - a. CG PSC-RPM-1 completes or delegates the completion of OER Sections 1, 2, and prepares Section 4, "Reporting Officer Authentication," for CG PSC-RPM-1 signature. CG PSC-RPM-1 may delegate the Reporting Officer signature authority to competently trained staff. Section 3 (Supervisor Authentication) and Section 5 (Reviewer Authentication) are not used for IRR or ASL OERs.
 - b. Section 2, "Description of Duties," should read "Submitted for continuity purposes only per Article 5.A.6.a. of COMDTINST M1000.3 (series). ROO is in (IRR or ASL)."
2. Reserve CWO4 Only. In addition to procedures outlined in Article 5.A.6. of Reference (a), Section 2 of the OER includes the following statements, "OER is submitted per COMDTINST M1000.3, Article 5.A.6.b.(4)."

B. Function of the Continuity OER

1. The Continuity OER is used to ensure that all days of commissioned service are covered by OERs, to close out the end of commissioned service, and for judicial or administrative adjudications.
2. A Continuity OER can be used to implement judicial and administrative adjudication. The appropriate OER form revision that was in effect on the end-of-period date is used. Section 2, "Description of Duties," should cite the current Continuity policy as per reference (a).

C. Reported-on Officer Preparation

1. Section 1, Administrative Data. The Reported-on Officer completes all items in this Section. The Reported-on Officer is responsible for the accuracy of the information and the appropriate form for the grade.

Items:

- a. NAME. Last name, first and middle initials only.
- b. Reported-On Officer Signature. Only Reserve CWO4s must review and sign (handwritten or electronic signature) in this space after the Reviewer has signed the OER but prior to submitting the OER to CG PSC-RPM-1. When the Reported-on Officer is unavailable for signature refer to Chapter 2.A.8.d of this Manual. *No signature is required for all other Continuity OERs.*
- c. DATE OF RANK. Date of rank in all numerals, e.g., 2009/05/04. Confirm date of rank in Direct Access, or the ESS.
- d. DATE REPORTED. Indicate the actual date of reported to PRIMARY DUTY as shown in Direct Access.
- e. UNIT. Identification of the unit to which permanently attached.
- f. EMPLID. Enter Employee ID Number in this block.
- g. GRADE. Two-character pay grade, e.g., W2, O5, etc., as of the end of period date. *Frocked officers must use their actual pay grade, not their frocked grade.*
- h. OFFICER STATUS/ORDERS. Mark only one.
- i. PERIOD OF REPORT. For those OERs for members separating from service the period of report end date will be the day prior to separation including all days of terminal leave, e.g., retirement date 2013/07/01, the end of period date is 2013/06/30.
- j. OCCASION FOR REPORT. Mark only one box for the occasion which has prompted the OER submission (normally “Detachment of Officer”).
- k. REASON FOR REPORT. Mark only one.

D. Preparation

Supervisor prepares Sections (2-3) of the Continuity OER.

1. Section 2, Primary Duty.

Provide the officer’s primary duty title. This is defined in the PAL as shown in Direct Access.

2. Section 2, Description of Duties.

- a. The Supervisor writes a summary of the most important aspects of Reported-on Officer’s job. Primary duties, collateral duties, special projects, key processes, and customer and supplier identities should be included. Use a common sense approach to describe the most important duties in a manner that will be understandable to a

- reader unfamiliar with the officer's job. The designated Supervisor describes the Reported-on Officer's responsibilities in Section 2 and states the reason the OER is submitted for continuity purposes, e.g., "Submitted per COMDTINST M1000.3 (series), Article 5.A.6., member separating on dd mm yyyy."
- b. In determining whether a Continuity OER is appropriate for officers being separated, consideration should be given to the Reported-on Officer's opportunity to request a reserve commission at some future date. Thus, *for officers departing the service for reasons other than retirement, the Supervisor ensures that the Reported-on Officer acknowledges reviewing this paragraph.*
 - c. The Supervisor confirms, by filling in the bubble, that the Reported-on Officer has reviewed the provisions of Article 5.A.6. of Reference (a) and concurs with the decision to submit the Continuity OER.
3. Section 3-5, Supervisor, Reporting Officer and Reviewer Authentication.
- a. SIGNATURE. The rating chain's signatures verify completion of their OES responsibilities. A typed name must accompany the signatures, regardless of whether a hand or digital signature is used. Include Service abbreviation if other than Coast Guard.
 - b. GRADE. Two-character military pay grade, or civilian equivalent, e.g., O6, GS12, etc. If frocked use frocked grade.
 - c. EMPLID. Enter Employee ID Number in this block. A non-Coast Guard Supervisor leaves this block blank.
 - d. TITLE OF POSITION. Examples include Chief, Administration Division; Commanding Officer.
 - e. DATE. For the Supervisor this date indicate when the OER was submitted to the Reporting Officer. Enter in all numerals, e.g., 2012/05/31. *The Reporting Officer and Reviewer must sign on or after the end of period date.*
-

CHAPTER 10. REVIEW OF OERS AT CG PERSONNEL SERVICE CENTER

A. General

Completed OERs are forwarded to CG PSC-OPM-3 or CG PSC-RPM-1, Officer Evaluations Branch for processing, review and validation.

1. Submission Criteria.

- a. Email. Digitally signed electronic forms are the preferred format for submission. The OER must include all pages and legible rating chain signatures. Resolution of scanned OERs must be set to at least 300 dpi. Color or black and white is acceptable. An email with attached OERs should not exceed 10MB. Do not mix ADPL and IDPL OERs together. Only one OER should be submitted per email. OERs are electronically submitted directly to CG PSC-OPM-3 or CG PSC-RPM-1 via PDF files containing all authorized attachments.
- b. Active Duty Promotion List (ADPL). The email address is arl-pf-cgpsc-opmoer@uscg.mil.
- c. Inactive Duty Promotion List (IDPL). The email address is arl-pf-cgpsc-rpmoer@uscg.mil.
- d. Subject Line. The subject line should include the Reported-on Officer's rank, last name, first and middle initials, and end of period date of the OER, e.g., **LCDR Jones AB 30APR2013**. If the Reported-on Officer is a candidate for an upcoming board or panel include the term Panel or Board in the subject line, e.g., **LCDR Jones AB 30APR2013 – Candidate for Board/Panel**. If the OER is overdue, then note that as well in the subject line, e.g., **LCDR Jones AB 30APR2013 – Overdue OER**. Attached files should be named as stated above with Reported-on Officer's rank, name and end of period of the OER.
- e. Required Comments. At the bottom of the email include the following verbiage:
 "This message contains personally identifiable information and shall only be forwarded to personnel who are authorized and have the need to see it. If you feel that you have received this information in error, notify the originator so appropriate action may be taken. Do not reply to all."

B. OER Review

CG PSC-OPM-3 and CG PSC-RPM-1 review OERs for administrative and substantive errors. Particular attention is given to inconsistencies between the numerical evaluations and written comments (where applicable). The review is not intended to question a rating official's judgment about a subordinate's performance, but to ensure OERs are prepared per OES guidelines.

1. Unacceptable Reports. Reports found unacceptable are returned to the original rating chain member identifying areas for correction. Corrected OERs must be returned to CG

PSC-OPM-3 or CG PSC-RPM-1 via the rating chain within 30 days.

2. Correction of OERs.

a. Quality of Comments. Comments in the OER must be sufficiently specific to present a complete picture of the Reported-on Officer's performance and qualities during the period. They should be both reasonably consistent with the numerical marks assigned and justify those marks which deviate from a four (if applicable). On those marks indicated by CG PSC-OPM-3 or CG PSC-RPM-1 as not being supported, the rating chain should either provide additional narrative support reflecting specific performance observations or adjust the marks to the information already provided.

b. Comments.

[1] Marks and comments may be changed only by the original Supervisor and Reporting Officer as appropriate.

[2] Comments must be confined to the allotted space on the form for that particular rating chain member.

[3] All changes to the original OER must be initialed.

[4] The signature dates should be adjusted to reflect the date that the necessary changes and reviews were actually made. The Reported-on Officer should be provided the opportunity to review and sign the updated OER.

[5] A new OER form should be used if the corrections are extensive.

CHAPTER 11. OFFICER EVALUATION REPORT, FORM CG-5310E (SERIES)
A. Rating Chain Designation

1. The Supervisor and Reporting Officer are required to be two separate members, regardless of rank.
2. In the event that the OER is defined as derogatory [Article 5.A.4.h of Reference (a)] and requires an addendum process the Reporting Officer's supervisor serves as the Reviewer. This designation is not required to be published per Article 5.A.2 of Reference (a).

B. Reported-on Officer Preparation

1. Mandatory meetings and use of the OSF for ensigns. All ensigns must request initial and end-of-period meetings with their Supervisors, and must submit a summary of achievements and other aspects of performance. In cases of geographic separation, telephone or written exchange of information may suffice.
2. Section 1, Administrative Data. The Reported-on Officer completes all items in this section, no later than 21 days before the end of the reporting period, and forwards the OER along with the OSF and ESS to the Supervisor. The Reported-on Officer is responsible for the accuracy of the information and the appropriate form for the grade. The Employee Summary Sheet (ESS) is a quick and reliable tool to validate information in Section 1.

Items:

- a. NAME. Last name, first and middle initials only.
- b. Reported-On Officer Signature. Ensigns must review and sign (handwritten or electronic signature) in this space after the Reporting Officer has signed the OER but prior to submitting the OER to CG PSC-OPM-3 or CG PSC-RPM-1. When the Reported-On Officer is unavailable for signature the Supervisor is required to provide a comment on CG5315E.
- c. DATE OF RANK. Date of rank in all numerals, e.g., 2009/05/04. Confirm date of rank in Direct Access, or the ESS.
- d. DATE REPORTED. Indicate the actual date reported to current PRIMARY DUTY as shown in Direct Access.
- e. UNIT. Identification of the unit to which permanently attached, e.g., MSST Los Angeles/Long Beach or MSU Savannah. For Concurrent OERs, use the temporary unit name as indicated in their orders.
- f. EMPLID. Enter Employee ID Number in this block.
- g. GRADE. Two-character pay grade, e.g., W2, O5, etc., as of the end of period date.

Frocked officers must use the report form appropriate to their pay grade, not their frocked grade.

- h. OFFICER STATUS/ORDERS. Mark only one.
- i. PERIOD OF REPORT. The regular reporting period commences the day after the ending date of the previous regular OER or the day of commissioning (for the first OER for newly commissioned officers) and ends on the date of the occasion for the current report. (Note: The period for a promotion OER ends on the day prior to promotion.)
- j. OCCASION FOR REPORT. Mark only one box for the occasion which has prompted the OER submission. The occasion dictates the end-of-period date. The mark of Special takes precedence to any other Occasion For Report if more than one occasion apply.

C. Supervisor Preparation

1. Enable JavaScript. In order to use the full functions of the form, the user must enable JavaScript functions. After opening the form, the user must select the Options field (see Figure 11-1) at the top of the form and select “*Enable JavaScript for this document always.*”

The screenshot shows the Adobe Acrobat Standard window with the file 'CG5310E Revised 16SEP2013.pdf'. The form is titled 'DEPARTMENT OF HOMELAND SECURITY U.S. Coast Guard OFFICER EVALUATION FORM'. A red circle highlights the 'Options' button in the top right corner of the form area. The form includes a 'Validation' section, a 'PRIVACY ACT STATEMENT', and an 'ADMINISTRATIVE DATA' section with fields for name, signature, and dates.

DEPARTMENT OF HOMELAND SECURITY U.S. Coast Guard OFFICER EVALUATION FORM		Validation [Progress Bar]	
PRIVACY ACT STATEMENT This information is requested under the authority of 14 U.S.C. 833 to determine an officer's suitability for promotion or job assignment. Submitting this information is mandatory. Failure to provide it could adversely affect promotion opportunities and job assignment or lead to disciplinary action.			
1. ADMINISTRATIVE DATA I understand my signature below does not constitute agreement or disagreement. I acknowledge I have reviewed this report.			
a. NAME (Last)	(Initials)	b. Reported-on Officer Signature	c. DATE OF RANK (YYYY/MM/DD)
			d. DATE REPORTED (YYYY/MM/DD)

Figure 11-1 JavaScript Function

2. Float Over Marks Function. After enabling JavaScript, the Officer Evaluation Form, CG-5310E will become one-page. The additional pages containing the performance dimensions are hidden and the user will be able to view them and select the appropriate mark. That mark value will then show up on page one of the form. Figure 11-2 shows how to bring up and view the performance dimensions. The user clicks the “Open” button next to each performance category to open a separate document. Once the user has the performance dimensions in view, they can then review the criteria and select the appropriate mark. To close the document and return to the evaluation, the user clicks the “X” in the top right corner – see red circle in Figure 11-3. After closing, the performance

dimensions marks selected will appear on page one of the form.

2. DESCRIPTION OF DUTIES: List primary duty and summarize all duties and responsibilities.		
PRIMARY DUTY:		
3. PERFORMANCE OF DUTIES: <input type="button" value="Open"/>	4. PROFESSIONAL QUALITIES: <input type="button" value="Open"/>	5. LEADERSHIP SKILLS: <input type="button" value="Open"/>
<input type="radio"/> Planning and Preparedness	<input type="radio"/> Initiative	<input type="radio"/> Looking Out for Others
<input type="radio"/> Using Resources	<input type="radio"/> Judgment	<input type="radio"/> Developing Others
<input type="radio"/> Results/Effectiveness	<input type="radio"/> Responsibility	<input type="radio"/> Directing Others
<input type="radio"/> Adaptability	<input type="radio"/> Professional Presence	<input type="radio"/> Teamwork
<input type="radio"/> Professional Competence	<input type="radio"/> Health and Well-Being	<input type="radio"/> Workplace Climate
8. COMMENTS: Supervisor selects 3 performance dimensions that best characterize this officer.		<input type="radio"/> Evaluations

Figure 11-2 Viewing Performance Functions

PERFORMANCE OF DUTIES: Measures an officer's ability to manage and to get things done.						X		
a. PLANNING AND PREPAREDNESS: Ability to anticipate, determine goals, identify relevant information, set priorities and deadlines, and create a shared vision of the unit's and Coast Guard's future.	1 <input type="radio"/>	Got caught by the unexpected; appeared to be controlled by events. Set vague or unrealistic goals. Used unreasonable criteria to set priorities and deadlines. Rarely had plan of action. Failed to focus on relevant information.	3 <input type="radio"/>	Consistently prepared. Set high but realistic goals. Used sound criteria to set priorities and deadlines. Used quality tools and processes to develop action plans. Identified key information. Kept supervisors and stakeholders informed.	5 <input type="radio"/>	Exceptional preparation. Always looked beyond immediate events or problems. Skillfully balanced competing demands. Developed strategies with contingency plans. Assessed all aspects of problems, including underlying issues and impact.	7 <input type="radio"/>	N/A
b. USING RESOURCES: Ability to manage time, materials	1 <input type="radio"/>	Concentrated on unproductive activities or often overlooked critical demands. Failed to	3 <input type="radio"/>	Effectively managed a variety of activities with available resources. Delegated,	5 <input type="radio"/>	Unusually skilled at bringing scarce resources to bear on the most critical of competing	7 <input type="radio"/>	N/A

Figure 11-3 Performance Dimension View

3. Section 2, Primary Duty.

- Provide the Reported-on Officer's Primary Duty title. This is defined in the unit Personnel Allowance List (PAL) as shown in Direct Access and is the position indicated on the Reported-on Officer's orders and on their ESS.
- If the Reported-on Officer transferred on PCS orders during the period of report the Primary Duty line can state both primary duty titles assigned during the period of report. In this case, inclusive dates may be noted. Example below:

PRIMARY DUTY: DECK WATCH OFFICER (01 FEB- 30 APR) / ENFORCEMENT DIV (01 MAY - 30 JUN)

- Reported-on Officers performing duties other than those assigned still list their Primary Duty title as assigned. See paragraph 4.d. below for additional information.

4. Section 2, Description of Duties.

- The Supervisor writes a summary of the most important aspects of the Reported-on Officer's job. Primary duties, collateral duties, special projects, key processes, and

- customer and supplier identities should be included. Also note conditions particular to the assignment. Include number of people supervised, funds controlled, and unit operations or organizational relationships as appropriate. Define highly technical terms or uncommon acronyms. Use a common sense approach to describe the most important duties in a manner that will be understandable to a reader unfamiliar with the officer's job.
- b. If a Reported-on Officer serves at any time during the reporting period under the direction of an officer not their primary Supervisor, the primary Supervisor should attempt to obtain from the secondary Supervisor a description of the Reported-on Officer's duties while working for the secondary Supervisor.
 - c. Officers performing duties other than those assigned or listed in the PRIMARY DUTY block should start the Description of Duties with "Actual duty assigned:", e.g., Actual duty(ies) assigned: Command Duty Officer. When the Reported-on Officer transfers during the period of report and a Detachment of Officer OER is not required, then the subsequent OER may include description of both primary duties and responsibilities of those positions.
 - d. Describe the duties and responsibilities for officers with limited opportunity to perform per Article 5.A.2.c.(2)(i) of Reference (a).
 - e. Special or Derogatory OERs. In addition to the description of duties and responsibilities, provide a brief reason for the OER along with the authorizing articles. Refer to Chapters 4 and 5 of this Manual for additional guidance.
 - f. If observations are believed to be inadequate to render a judgment, the "not observed" circle is used. The reason for the "not observed" *must be briefly stated* in Section 2 or in the appropriate "comments" blocks.
5. Sections 3, 4, 5, and 6.
- a. These sections are designed to measure an officer's demonstrated performance and qualities exhibited in four major evaluation areas:
 - [1] Performance of Duties
 - [2] Personal and Professional Qualities
 - [3] Leadership Skills
 - [4] Communication Skills
- Two or more performance dimensions (rating scales) define each evaluation area. Each performance dimension is defined in terms of three performance standards: below standard, at standard, or above standard.

- b. For each evaluation area, the Supervisor reviews the Reported-on Officer's performance and qualities observed and noted during the reporting period. Then, for each of the performance dimensions, the Supervisor must carefully read the standards and compare the Reported-on Officer's performance to the level of performance described by the standards. The Supervisor must take care to compare the officer's performance and qualities against the standards — not to other officers and not to the same officer in a previous reporting period. After determining which block best describes the Reported-on Officer's performance and qualities during the marking period, the Supervisor selects the appropriate circle on the form. Refer to the Table 11-1 below in determining the appropriate mark to assign to each performance dimension. Inflationary markings dilute the actual value of each evaluation, rendering the OES and the OER itself ineffective.

MARK	MEANS THE MEMBER CONSISTENTLY
1	(Derogatory) – Met all the written performance standards in the “2” level and the rater considered the impact severely detrimental to the organization or to others.
2	(Below standard) – Met all the written performance standards in this level.
3	Did not meet all the written performance standards in the “4” block.
4	(Standard) – Met all the written performance standards for this level and none in the “6” level.
5	Met all the written performance standards in the “4” level and at least one of those in the “6” level.
6	(Above Standard)– Met all the written performance standards for this level and did not exceed any of them.
7	Met all the written performance standards in the “6” level and exceeded at least one of them.

Table 11-1 Performance Dimension Marking

- c. Any officer who receives an Alcohol (AI) or Drug Incident (DI) has not met the expected standards of performance for the Judgment performance dimension. Therefore, a mark of '4' or higher in the Judgment performance dimension is not authorized. Rating chains may determine whether substandard performance of this nature should impact other OER performance dimensions (i.e., Responsibility, Professional Presence, etc.).
- d. The date the Commanding Officer determines an AI or DI occurred is the determinant for which OER period should be impacted, not the actual date of the incident. For example, an ensign receives a DUI on 22 March and is issued an AI memo on 12 April. If the ensign is on a regular annual OER submission schedule, the AI shall be reflected in the next OER cycle which starts on 01 April.
- e. Any officer who receives either an AI, or DI, or is not compliant with USCG weight and body fat standards at any time during the period of report, has not met the

expected standards of performance for the Health and Well-Being performance dimension. Therefore, a mark of '4' or higher in the Health and Well-Being performance dimension is not authorized.

- f. Officers found non-compliant with USCG weight and body fat standards shall have this documented in the OER period in which non-compliance occurred (i.e. April weigh-in, October weigh-in, weigh-in for pre-Resident Training, weigh-in for a reservists ordered to active duty, etc) and not the date the command documents non-compliance. Officers who have an approved medical abeyance for weight from CG PSC- Personnel Service Division (PSD) are excluded from this requirement.
- g. Where the Supervisor has insufficient information to provide a mark or if observations are believed inadequate to render a judgment, the “not observed” circle is used. The reason for the “not observed” *must be briefly stated* in Section 2 or in the “comments” block.
- h. After marking all performance dimensions the Supervisor *selects the three performance dimensions that best characterize the Reported-on Officer* by selecting the appropriate circles on the form. The three selected performance dimensions shall be supported in Section 8 of the OER.
- i. In addition, *each* substandard mark shall be supported in Section 8 of the OER. The requirement to comment on the three performance dimensions that best characterize the Reported-on-Officer *is in addition to* the requirement to support each substandard mark. When the Supervisor has finished his/her comments in Section 8, they should ask themselves the following two questions:

[1] Did I comment on the three performance dimensions that best characterize this officer? (those bubbled in Sections 3 through 6), and

[2] Did I comment on each substandard performance dimension (if they apply)?

If you answered yes to both questions, you have complied with the required comments.

6. Section 7, Qualifications and Competencies.

- a. This section is used to capture all professional qualification and certifications attained during the period of report. This is to emphasize proficiency in craft and focus on professional development. This section should capture professional, technical training and certifications *earned during the period of report*.
- b. To assist with determining what should be added to this section, apply the following guidelines:

[1] Include items where a designation memo or CG-3307 Administrative Remarks is required by other Commandant policy for the Reported-on-Officer to document the qualification.

[2] Include qualifications pertaining to the Reported-on-Officer's PRIMARY DUTY or qualifications of an operational nature. For example, a Student Engineer who earns an underway officer of the deck (OOD) qualification should be listed, as should Deck Watch Officer and Landing Signal Officer. However, administrative collateral duties such as a Urinalysis Observer should not be listed.

[3] Competencies earned during the period of report should be listed as well. A list of competencies is located in the U. S. Coast Guard Competency Management System Manual, COMDTINST M5300.2 (series):
http://www.uscg.mil/directives/cim/5000-5999/CIM_5300_2.pdf, and
 Competency Dictionary <http://aops.osc.uscg.mil/docs/compdictionary.html>

- c. The intent of this section is to enhance visibility of and emphasize the obtainment of qualifications and competencies in the officer's profession. Entries in Section 7 may mirror information found elsewhere in an officer's record (Direct Access, CG-4082 Record of Professional Development, etc.).

7. Section 8, Supervisor's Comments.

- a. Comments should be more narrative and not a listing of accomplishments (e.g. explain *why* you chose to select Writing as a performance dimension to characterize this officer, not simply listing how many memos, awards or messages they wrote).
- b. Citing weaknesses does not make the OER derogatory. Derogatory OERs are identified in Article 5.A.7.c. of Reference (a).
- c. All comments must be confined to the space allotted to the Supervisor. An additional comments page from the Supervisor *is only authorized* to ensure documentation of all substandard performance.

8. Comments Page, CG-5315E. The page can *only* be used by the Supervisor to substantiate substandard marks if there is not adequate space in Section 8. The use of the Comments Page, CG-5315E indicates the presence of substandard marks.

9. Section 9, Supervisor Authentication.

- a. SIGNATURE. The Supervisor's signature verifies completion of their OES responsibilities and that comments and evaluations are correct. A typed name must accompany the signature, regardless if a hand or digital signature is used. Include Service abbreviation if other than Coast Guard.
- b. GRADE. Two-character military pay grade, or civilian equivalent, e.g., O6, GS12, etc. If frocked use frocked grade.
- c. EMPLID. Enter Employee ID Number in this block. A non-Coast Guard Supervisor leaves this block blank.
- d. TITLE OF POSITION. Examples include Chief, Administration Division;

Commanding Officer.

- e. DATE. The date the Supervisor submitted the evaluation to the Reporting Officer. Enter in all numerals, e.g., 2013/05/31. The Supervisor can sign the OER prior to the end of period of report, ideally this is no earlier than 21 days.
- f. After signing the OER, the Supervisor gives it to the Reporting Officer, together with the OSF, ESS, and any other authorized documentation or information.

D. Reporting Officer Preparation

1. Section 10, Comparison Scale.

- a. The Reporting Officer fills in the circle that most closely reflects the Reporting Officer's ranking of the Reported-on Officer relative to all other officers of the same grade the Reporting Officer has known. [NOTE: This section represents a relative ranking of the Reported-on Officer, not necessarily a trend of performance. Thus, from period to period, an officer could improve in performance but drop a category.
- b. A mark of "unsatisfactory" defines the report as Derogatory and requires compliance with Article 5.A.7.c. of Reference (a).
- c. No mark is required if there were insufficient opportunities to make a judgment. In this case the Reporting Officer should indicate so with a short statement in Section 11.

2. Section 11, Potential.

- a. The Reporting Officer comments on the Reported-on Officer's potential for greater leadership roles and responsibilities in the Coast Guard.
- b. No specific comments are required to support the Reporting Officer's judgment in Section 10, Comparison Scales. However, a mark other than in the center three circles is strengthened considerably if there are comments in the report from which one could reasonably draw a conclusion why this particular officer has been identified as different from the majority of officers of this grade.
- c. Comments in this section reflect the judgment of the Reporting Officer and may include, but are not limited to, the following:
 - [1] Qualification to assume the duties of the next grade.
 - [2] Specialties or types of assignment, such as command, or post-graduate education for which the Reported-on Officer is qualified or shows aptitude.
 - [3] Special talents or skills (or lack of) such as military readiness and warfare skills, seamanship or airmanship, etc., as applicable.

[4] Comments must be confined to the allotted space on the form.

3. Section 12, Reporting Officer Authentication.

- a. SIGNATURE. The Reporting Officer's signature verifies completion of OES responsibilities and that comments and assigned marks are correct. A typed name must accompany the signature, regardless if a hand or digital signature is used. Include Service abbreviation if other than Coast Guard.
- b. GRADE. Two-character military pay grade, or civilian equivalent, e.g., O4, O5, etc. If frocked use frocked grade.
- c. EMPLID. Enter Employee ID Number.
- d. TITLE OF POSITION. Examples include Chief, Administration Division; Commanding Officer.
- e. DATE. The date the Reporting Officer completed the evaluation. Enter date using a numeric format, e.g., 2013/05/31. Since this date indicates when the Reporting Officer completed OES responsibilities, *a date preceding the end-of-period is prohibited*.

4. Attachments. Copies of punitive letters of censure (Reprimand and Admonition) and copies of Court Memorandums must be referred to and appended to the OER once the proceedings, including reviews and appeal, are completed, per Articles 5.A.3.e. and 5.A.7.f. of Reference (a). A written non-punitive censure may not be referred to or appended to the OER (Article 1.E.4. of the Discipline and Conduct, COMDTINST M1600.2 (series)). However, the performance which resulted in the non-punitive censure may be discussed in the OER. If a command is unable to obtain a copy of the Court Memorandum from civil authorities, then a Reviewer Comments, Form CG-5315 (series) must be attached stating the same and verifying the findings of the court.
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CHAPTER 12. BEHAVIORALLY ANCHORED RATING SYSTEM (BARS)

A. General

1. The Coast Guard appraisal method uses absolute standards. This means that employees are compared to a standard, and their evaluation is independent of any other employee in a work group. This process assesses employee job traits and/or behaviors. The Coast Guard officer appraisal has 18 Performance Dimensions and the OER is a series of forms used to document Coast Guard officers' performance and potential.
2. Behaviorally Anchored Rating Scales (BARS) are scales used to report a Reported-on Officer's performance. BARS is a method that combines elements of the traditional rating scales and critical incidents methods. It aims to combine the benefits of narratives, critical incidents, and quantified ratings by anchoring a quantified scale with specific narrative examples of good/poor or effective/ineffective performance.
3. The completion of an OER is a critical leadership responsibility. Inherent in this duty is the commitment of rating chains to ensure the integrity of the system by giving close attention to accurate marking, narrative assessment, and timely reporting.

B. Factors that can distort OERs

1. Leniency Error - Every evaluator has their own value system that acts as a standard against which appraisals are made. Relative to the true or actual performance an individual exhibits, some evaluators mark high, while others mark low. The former is referred to as positive leniency error, and the latter as negative leniency error. If all individuals in an organization were appraised by the same person, there would be no problem. Any error factor would be applied equally to everyone. The difficulty arises when there are different raters with different leniency errors. Rating chain members are reminded to evaluate against the established service standards.
2. Halo Error - The inflation of marks "halo effect" is a cognitive bias that causes people to overestimate their positive qualities and abilities and to underestimate their negative qualities, relative to others. The halo error or effect occurs when one is rated either extremely high or extremely low on all factors based on a rating of one or two factors.
3. Low Appraiser Motivation - If the evaluator knows that a poor appraisal could significantly hurt the employee's future, particularly opportunities for promotion or selection, the evaluator may be reluctant to give a realistic appraisal.
4. Central Tendency - It is possible that regardless of whom the rating chain member evaluates and what traits are used, the pattern of evaluation remains the same. Sometimes the evaluator's ability to appraise objectively and accurately has been impeded by a failure to use the extremes of the scale. Central tendency occurs when a rater refuses to use the two extremes. Raters prone to the central tendency error continually rate all employees as average.

C. Marking Philosophy of 18 Performance Dimensions

1. The rating chain must carefully evaluate the Reported-on Officer in each attribute to fairly judge the performance and character of the individual. There is no place for “welcome aboard” reports or other techniques that skew performance records.
2. Determine the mark on the scale that best reflects the performance and behavior of the Reported-on Officer during the evaluation period. A single event or action may be significant enough to support an unsatisfactory mark. A mark of four represents the expected standard of performance, while a mark of “7” should reflect a truly extraordinary level of performance observed. All of the characteristics of performance and conduct for the mark of “6” should have been met and at least one of them exceeded to merit a mark of “7”.

18 PERFORMANCE DIMENSIONS

3. PERFORMANCE OF DUTIES: Measures an officer's ability to manage and to get things done.								
a. <u>PLANNING AND PREPAREDNESS:</u> Ability to anticipate, determine goals, identify relevant information, set priorities and deadlines, and create a shared vision of the unit's and Coast Guard's future.	1	Got caught by the unexpected; appeared to be controlled by events. Set vague or unrealistic goals. Used unreasonable criteria to set priorities and deadlines. Rarely had plan of action. Failed to focus on relevant information.	3	Consistently prepared. Set high but realistic goals. Used sound criteria to set priorities and deadlines. Used quality tools and processes to develop action plans. Identified key information. Kept supervisors and stakeholders informed.	5	Exceptional preparation. Always looked beyond immediate events or problems. Skillfully balanced competing demands. Developed strategies with contingency plans. Assessed all aspects of problems, including underlying issues and impact.	7	NO
b. <u>USING RESOURCES:</u> Ability to manage time, materials, information, money, and people (i.e. all CG components as well as external publics).		Concentrated on unproductive activities or often overlooked critical demands. Failed to use people productively. Did not follow up. Mismanaged information, money or time. Used ineffective tools or left subordinates without means to accomplish tasks. Employed wasteful methods.		Effectively managed a variety of activities with available resources. Delegated, empowered, and followed up. Skilled time manager, budgeted own and subordinates' time productively. Ensured subordinates had adequate tools, materials, time and direction. Cost conscious, sought ways to cut waste.		Unusually skilled at bringing scarce resources to bear on the most critical of competing demands. Optimized productivity through effective delegation, empowerment, and follow-up control. Found ways to systematically reduce cost, eliminate waste, and improve efficiency.		
c. <u>RESULTS/EFFECTIVENESS:</u> Quality, quantity, timeliness and impact of work.		Routine tasks accomplished with difficulty. Results often late or of poor quality. Work had a negative impact on department or unit. Maintained the status quo despite opportunities to improve.		Got the job done in all routine situations and in many unusual ones. Work was timely and of high quality; required same of subordinates. Results had a positive impact on department or unit. Continuously improved services and organizational effectiveness.		Maintained optimal balance among quality, quantity, and timeliness of work. Quality of own and subordinates' work surpassed expectations. Results had a significant positive impact on unit or Coast Guard. Established clearly effective systems of continuous improvement.		
d. <u>ADAPTABILITY:</u> Ability to modify work methods and priorities in response to new information, changing conditions, political realities, or unexpected obstacles.		Unable to gauge effectiveness of work, recognize political realities, or make adjustments when needed. Overlooked or screened out new information. Overreacted or responded slowly to change in direction or environment. Ineffective in ambiguous, complex, or pressured situations.		Receptive to change, new information, and technology. Effectively used benchmarks to improve performance and service. Monitored progress and changed course as required. Effectively dealt with pressure and ambiguity. Facilitated smooth transitions. Adjusted direction to accommodate societal trends or political realities.		Rapidly assessed and adjusted to changing conditions, political realities, new information and technology. Very skilled at using and responding to measurement indicators. Championed organizational improvements. Effectively dealt with extremely complex situations. Turned pressure and ambiguity into constructive forces for change.		
e. <u>PROFESSIONAL COMPETENCE:</u> Ability to acquire, apply and share technical and administrative knowledge and skills associated with description of duties. (Includes operational aspects such as marine safety, seamanship, airmanship, SAR, etc., as appropriate.)		Questionable competence and credibility. Operational or specialty expertise inadequate or lacking in key areas. Made little effort to grow professionally. Used knowledge as power against others or blurred rather than acknowledging ignorance. Effectiveness reduced due to limited knowledge of own organizational role and customer needs.		Competent and credible authority on specialty or operational issues. Acquired and applied excellent operational or specialty expertise for assigned duties. Showed professional growth through education, training and professional reading. Shared knowledge and information with others clearly and simply. Understood own organizational role and customer needs.		Superior expertise; advice and actions showed great breadth and depth of knowledge. Remarkable grasp of complex issues, concepts and situations. Rapidly developed professional growth beyond expectations. Vigorously conveyed knowledge, directly resulting in increased workplace productivity. Insightful knowledge of own role, customer needs, and value of work.		

Figure 12-1 Performance of Duties

4. COMMUNICATION SKILLS: Measures an officer's ability to communicate in a positive, clear, and convincing manner.								
a. SPEAKING AND LISTENING: Ability to speak effectively and listen to understand.	1	Unable to effectively articulate ideas and facts; lacked preparation, confidence, or logic. Used inappropriate language or rambled. Nervous or distracting mannerisms detracted from message. Failed to listen carefully or was too argumentative.	3	Effectively expressed ideas and facts in individual and group situations; non-verbal actions consistent with spoken message. Communicated to people at all levels to ensure understanding. Listened carefully for intended message as well as spoken words.	5	Clearly articulated and promoted ideas before a wide range of audiences; accomplished speaker in both formal and extemporaneous situations. Adept at presenting complex or sensitive issues. Active listener; remarkable ability to listen with open mind and identify key issues.	7	N/O
b. WRITING: Ability to express facts and ideas clearly and convincingly.		Written material frequently unclear, verbose, or poorly organized. Seldom proofread. Often submitted correspondence which was grammatically incorrect, tailored to wrong audience, or delivered by an inappropriate medium.		Written material clear, concise, and logically organized. Proofread conscientiously. Correspondence grammatically correct, tailored to audience, and delivered by an appropriate medium. Subordinates' material reflected same high standards.		Clearly and persuasively expressed complex or controversial material, directly contributing to stated objectives. Written or published material brought credit to the Coast Guard. Actively educated subordinates in effective writing.		

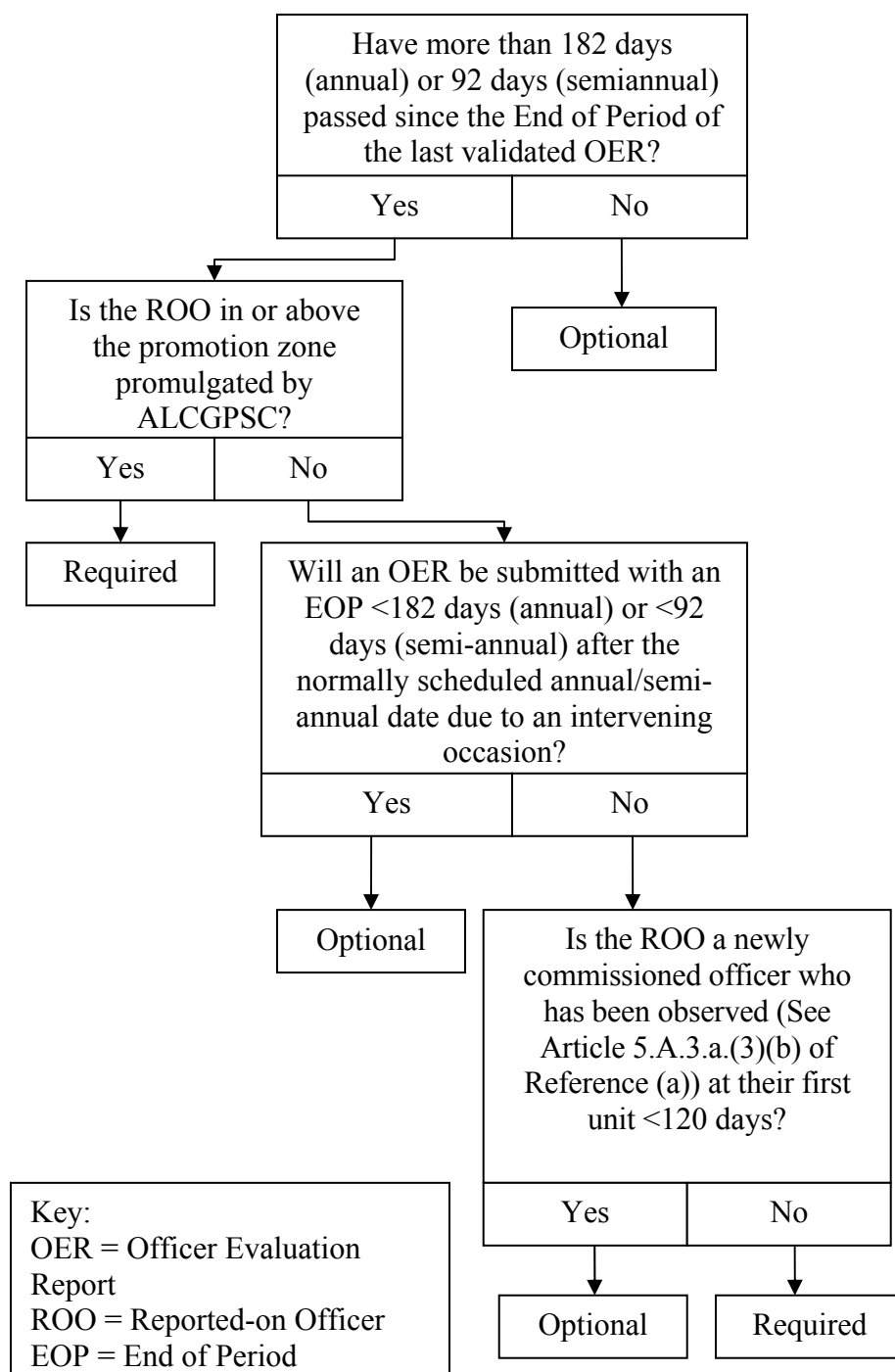
Figure 12-2 Communications

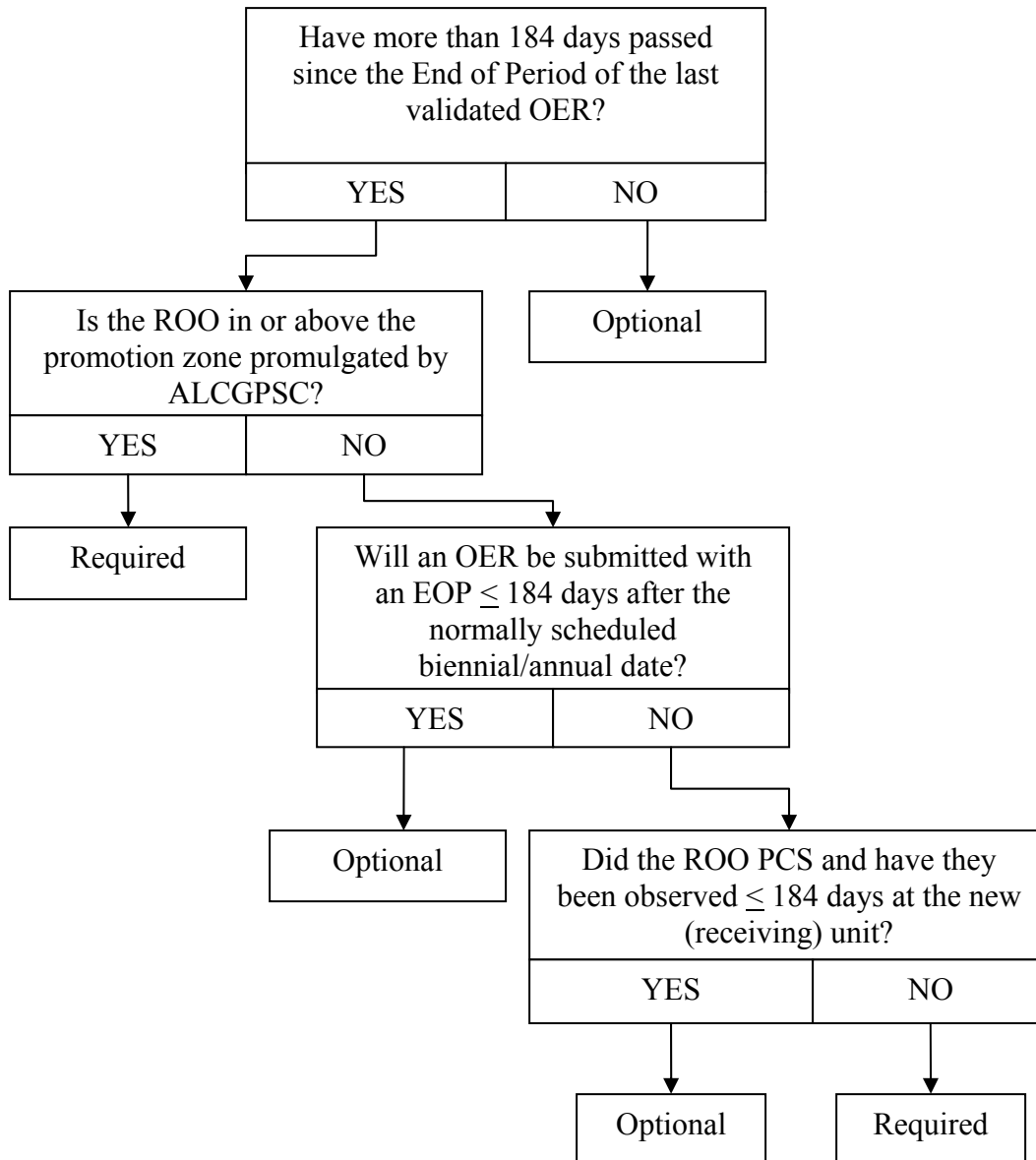
5. LEADERSHIP SKILLS: Measures an officer's ability to support, develop, direct, and influence others in performing work.								
a. <u>LOOKING OUT FOR OTHERS:</u> Ability to consider and respond to others' <i>personal</i> needs, capabilities, and achievements; support for and application of work-life concepts and skills.	1	Seldom recognized or responded to needs of people; left outside resources untapped despite apparent need. Ignorance of individuals' capabilities increased chance of failure. Seldom recognized or rewarded deserving subordinates.	3	Cared for people. Recognized and responded to their needs; referred to outside resources as appropriate. Considered individuals' capabilities to maximize opportunities for success. Consistently recognized and rewarded deserving subordinates.	5	Always accessible. Enhanced overall quality of life. Actively contributed to achieving balance among unit requirements, professional and personal responsibilities. Strong advocate for subordinates; ensured appropriate and timely recognition, both formal and informal.	7	N/A
b. <u>DEVELOPING OTHERS:</u> Ability to use mentoring, counseling, and training to provide opportunities for others' professional development.	1	Unreasonably restricted opportunities for professional growth. Kept others in narrow roles and discouraged the level of risk-taking necessary for learning. Lack of timely feedback left subordinates guessing.	3	Supported and provided opportunities for professional growth. Encouraged others to expand their roles, handle important tasks and learn by doing. Allowed the appropriate level of risk-taking necessary for learning and mission accomplishment. Provided timely praise and constructive feedback.	5	Created challenging situations which optimized professional development and maximized opportunity for success. Guided, mentored, and encouraged others to reach new levels of performance. Adeptly counseled others; identified professional potential, strengths and areas for improvement.	7	N/A
c. <u>DIRECTING OTHERS:</u> Ability to influence or direct others in accomplishing tasks or missions.	1	Showed difficulty in directing or influencing others. Low or unclear work standards reduced productivity. Failed to hold subordinates accountable for shoddy work or irresponsible actions. Unwilling to delegate authority to increase efficiency of task accomplishment.	3	A leader who earned others' support and commitment. Set high work standards; clearly articulated job requirements, expectations and measurement criteria; held subordinates accountable. When appropriate, delegated authority to those directly responsible for the task.	5	An inspirational leader who motivated others to achieve results not normally attainable. Won people over rather than imposing will. Clearly articulated vision; empowered subordinates to set goals and objectives to accomplish tasks. Modified leadership styles to best meet challenging situations.	7	N/A
d. <u>TEAMWORK:</u> Ability to manage, lead and participate in teams, encourage cooperation, and develop esprit de corps.	1	Used teams ineffectively or at wrong times. Conflicts mismanaged or often left unresolved, resulting in decreased team effectiveness. Excluded team members from vital information. Stifled group discussions or did not contribute productively. Inhibited cross functional cooperation to the detriment of unit or service goals.	3	Skillfully used teams to increase unit effectiveness, quality and service. Resolved or managed group conflict, enhanced cooperation, and involved team members in decision process. Valued team participant. Effectively negotiated work across functional boundaries to enhance support of broader mutual goals.	5	Insightful use of teams raised unit productivity beyond expectations. Inspired high level of esprit de corps, even in difficult situations. Major contributor to team effort. Established relationships and networks across a broad range of people and groups, raising accomplishments of mutual goals to a remarkable level.	7	N/A
e. <u>WORKPLACE CLIMATE:</u> Ability to value individual differences and promote an environment of involvement, innovation, open communication and respect.	1	Intolerant of individual differences, exhibited discriminatory tendencies toward others. Tolerated or contributed to an uncomfortable or degrading environment. Failed to take responsibility for own words and actions and their impact on others. Failed to support or enforce Coast Guard human resources policies.	3	Sensitive to individual differences. Encouraged open communication and respect. Promoted an environment which values fairness, dignity, creativity, and diverse perspectives. Took responsibility for own words and actions and their impact on others. Fully supported and enforced Coast Guard human resources policies.	5	Excelled at creating an environment of fairness, candor, and respect among individuals of diverse backgrounds and positions. Optimized use of different perspectives and opinions. Quickly took action against behavior inconsistent with Coast Guard human resources policies, or which detracted from mission accomplishment.	7	N/A
f. <u>EVALUATIONS:</u> The extent to which an officer, as Reported-on Officer and rater, conducted or required others to conduct accurate, timely evaluations for enlisted, civilian and officer personnel.	1	Reports were frequently late. Narratives inaccurate or of poor quality. Failed to uphold service performance standards by assigning accurate marks. Reports required revision or intervention by others. Failed to meet own OES responsibilities as Reported-on Officer.	3	Reports consistently submitted on time. Narratives were fair, concise, and contained specific observations of action and impact. Assigned marks against standards. Few reports, if any, returned for revision. Met own OES responsibilities as Reported-on Officer.	5	No reports submitted late. Narratives were insightful, of the highest quality, and always supported assigned marks. Subordinates' material reflected same high standards. No reports returned for revision. Returned reports to subordinates when appropriate.	7	N/A

Figure 12-3 Leadership Skills

8. PERSONAL AND PROFESSIONAL QUALITIES: Measures selected qualities which illustrate the individual's character.								
a. <u>INITIATIVE.</u> Ability to originate and act on new ideas, pursue opportunities to learn and develop, and seek responsibility without guidance and supervision.	1	Postponed needed action. Implemented or supported improvements only when directed to do so. Showed little interest in career development. Feasible improvements in methods, services, or products went unexplored.	3	Championed improvement through new ideas, methods, and practices; self-starter. Anticipated problems and took prompt action to avoid or resolve them. Sought opportunities for own career development. Pursued productivity gains and enhanced mission performance by applying new ideas and methods.	5	Aggressively sought out additional responsibility. A self-learner. Made worthwhile ideas and practices work when others might have given up. Extremely innovative. Optimized use of new ideas and methods to improve work processes, decision-making, and service delivery.	7	N/A
b. <u>JUDGMENT.</u> Ability to make sound decisions and provide valid recommendations by using facts, experience, political acumen, common sense, risk assessment, and analytical thought.	1	Decisions often displayed poor analysis. Failed to make necessary decisions, or jumped to conclusions without considering facts, alternatives, and impact. Did not effectively weigh risk, cost, and time considerations. Unconcerned with political drivers on organization.	3	Demonstrated analytical thought and common sense in making decisions. Used facts, data, and experience, and considered the impact of alternatives and political realities. Weighed risk, cost and time considerations. Made sound decisions promptly with the best available information.	5	Combined keen analytical thought, an understanding of political processes, and insight to make appropriate decisions. Focused on the key issues and the most relevant information. Did the right thing at the right time. Actions indicated awareness of impact of decisions on others. Not afraid to take reasonable risks to achieve positive results.	7	N/A
c. <u>RESPONSIBILITY.</u> Ability to act ethically, courageously, and dependably and inspire the same in others' accountability for own and subordinates' actions.	1	Actions demonstrated questionable ethics or lack of commitment. Tolerated indifference or failed to hold subordinates accountable. Allowed organization to absorb personnel problems rather than confronting them as required. Tended not to speak up or get involved. Provided minimal support for decisions counter to own ideas.	3	Held self and subordinates personally and professionally accountable. Spoke up when necessary, even when expressing unpopular positions. Supported organizational policies and decisions which may have been counter to own ideas. Committed to the successful achievement of organizational goals.	5	Integrity and ethics beyond reproach. Always held self and subordinates to highest standards of personal and professional accountability. Did the right thing even when it was difficult. Succeeded in making even unpopular policies or decisions work. Actions demonstrated unwavering commitment to achievement of organizational goals.	7	N/A
d. <u>PROFESSIONAL PRESENCE.</u> Ability to bring credit to the Coast Guard through one's actions, competence, demeanor, and appearance. Extent to which an officer displayed the Coast Guard's core values of honor, respect, and devotion to duty.	1	Unaware of general CG objectives; uncooperative or biased in interactions. Lost composure in difficult situations. Conveyed poor image of self and CG. Ignorant of or sloppy with common military courtesies. Uniform appearance and grooming below standard. Failed to display the core values of honor, respect, and devotion to duty.	3	Knowledgeable in how CG objectives serve the public; cooperative and fair in all interactions. Composed in difficult situations. Conveyed positive image of self and CG. Well versed in military etiquette; precise in rendering and upholding military courtesies. Great care in uniform appearance and grooming. Abided by the core values of honor, respect, and devotion to duty.	5	Always self-assured, projected ideal CG image. Posed in response to others' provocative actions. Contributed leadership role in civilian/military community. Exemplified and held others accountable for the core values and finest traditions of military customs and protocol. Meticulous uniform appearance and grooming. Inspired similar standards in others.	7	N/A
e. <u>HEALTH AND WELL-BEING.</u> Ability to invest in the Coast Guard's future by caring for the physical health, safety, and emotional well-being of self and others.	1	Did not adhere to the Coast Guard Fitness Program. Failed to meet minimum standards of weight control or sobriety. Tolerated or condoned others' alcohol abuse. Seldom considered subordinates' health and well-being. Unwilling or unable to recognize and manage stress despite apparent need. Failed to adequately identify and protect personnel from safety hazards.	3	Maintained weight standards and adhered to the Coast Guard Fitness Program. Committed to health and well-being of self and subordinates. Enhanced personal performance through activities supporting physical and emotional well-being. Recognized and managed stress effectively. Ensured that safe operating procedures were followed.	5	Remarkable vitality, enthusiasm, alertness and energy. Consistently contributed at high levels and actively followed a comprehensive fitness program. Optimized personal performance through involvement in activities which supported physical and emotional well-being. Monitored and helped others deal with stress, enhance health and well-being. Demonstrated a significant commitment towards safety of personnel.	7	N/A

Figure 12-4 Personal and Professional Qualities

Appendix A OER SUBMISSION FLOW CHARTS
**Figure A-1 OER for Annual/Semiannual Submission**



Key:
 OER = Officer Evaluation Report
 ROO = Reported-on Officer
 EOP = End of Period
 PCS = Permanent Change of Station

Figure A-2 Reserve OER for Biennial/Annual Submission

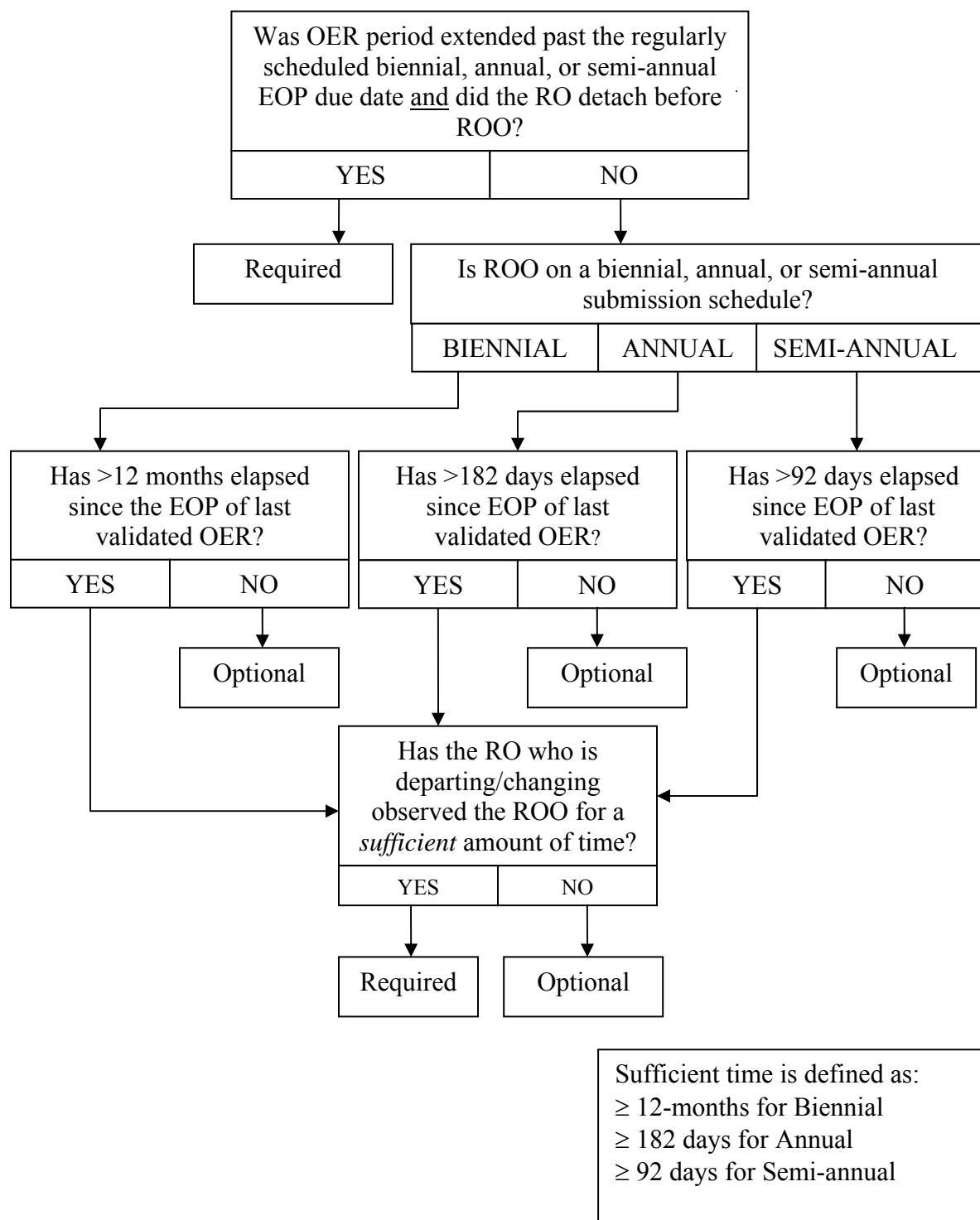
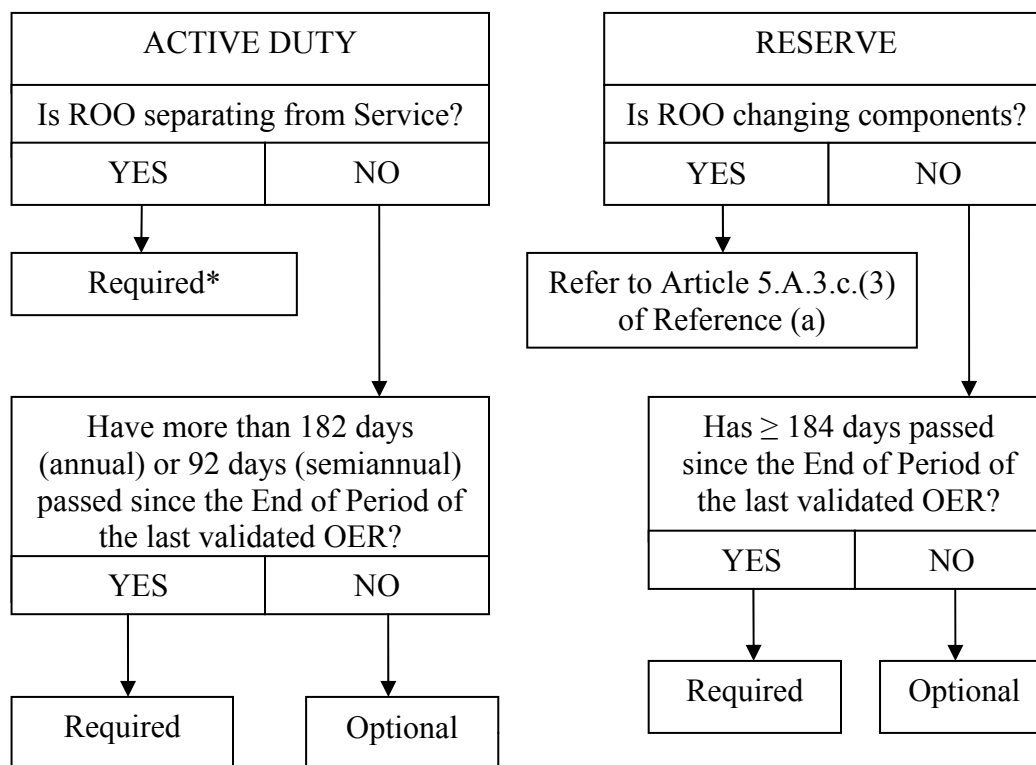
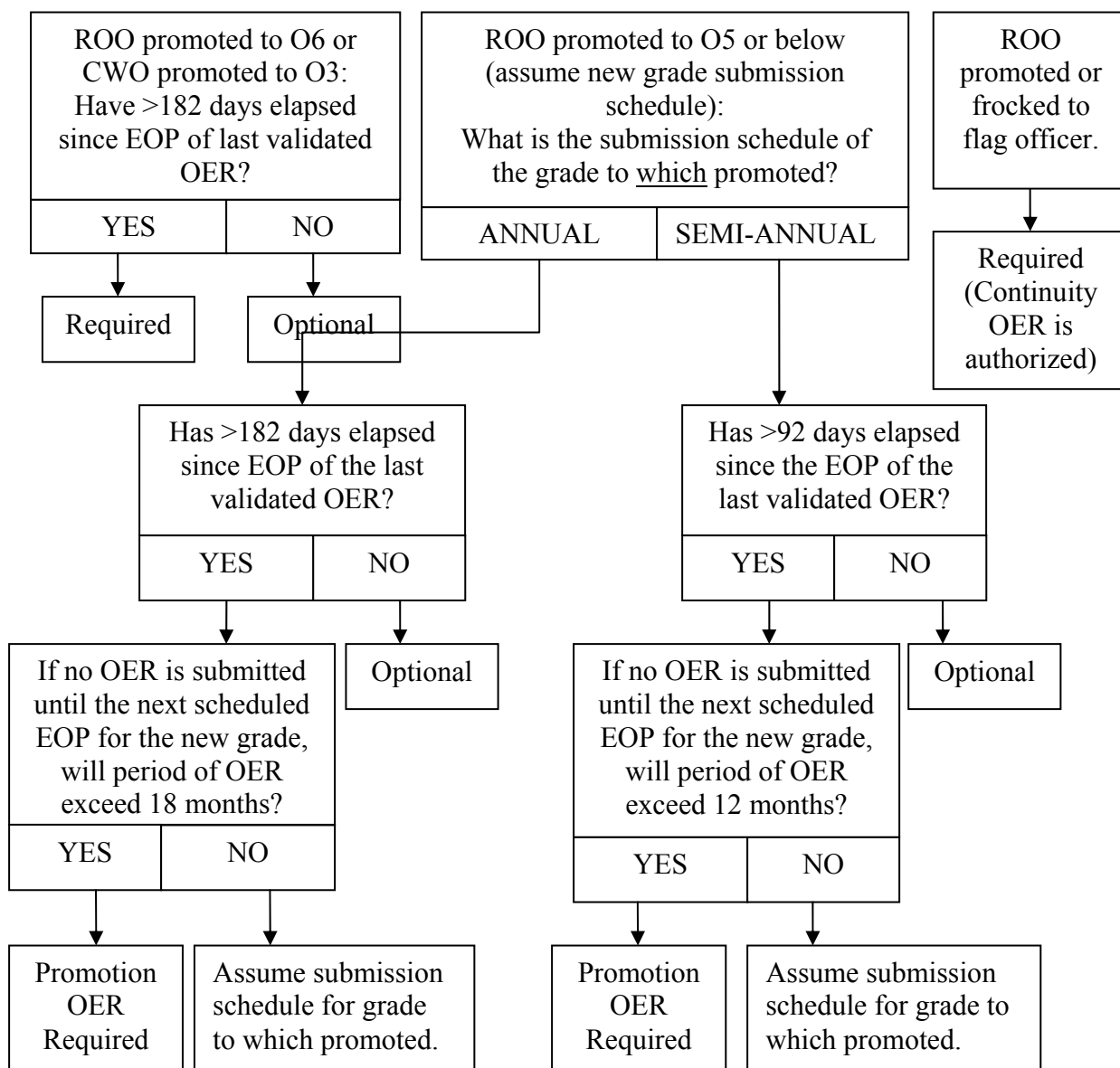


Figure A-3 OER for Detachment of Reporting Officer



*Note: For officers separating from the service, the reporting period shall end on the final day of active service, including days on terminal leave.

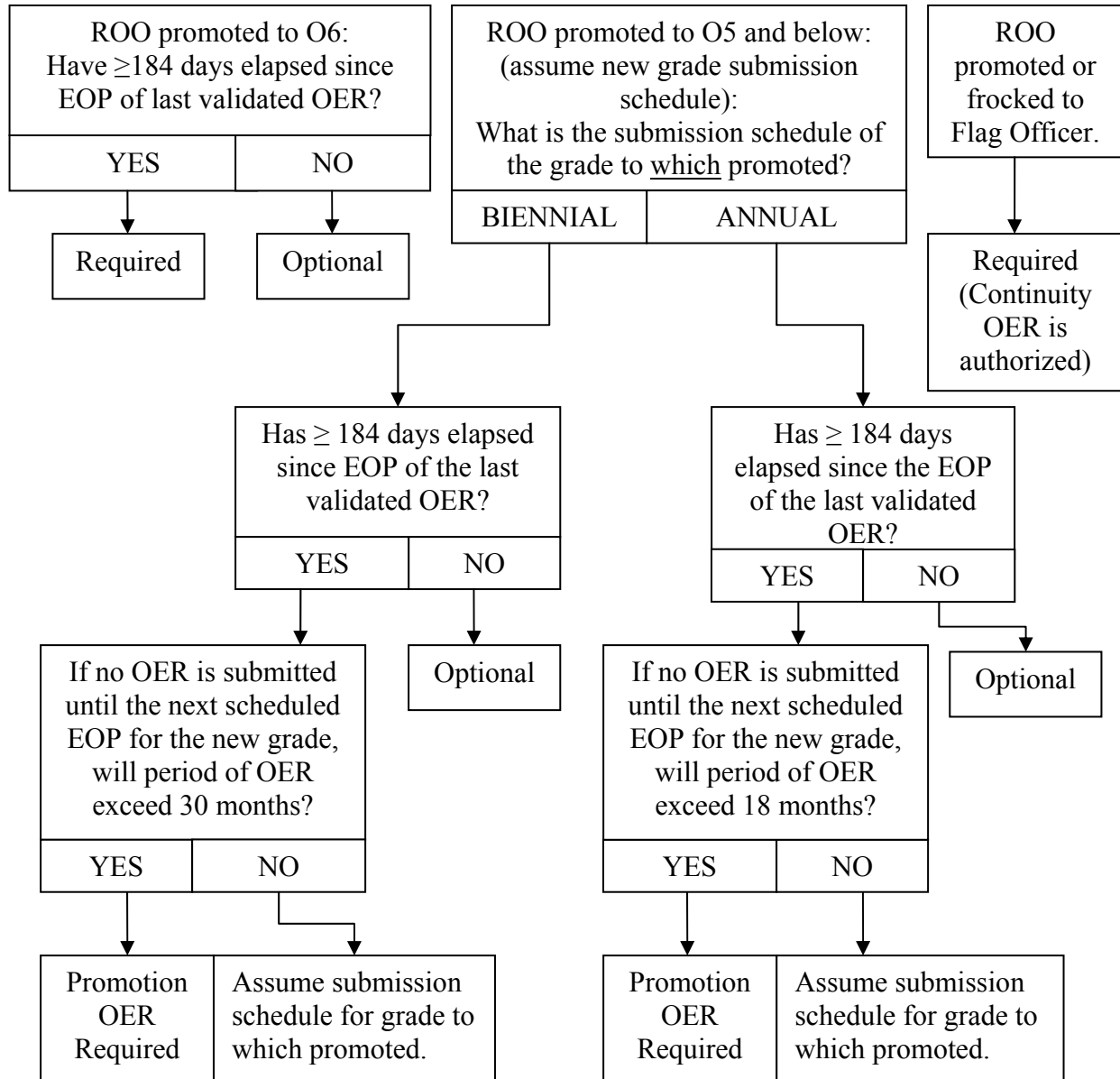
Figure A-4 OER for Detachment of Reported-on Officer



Note: Where an OER is required

- 1) The reporting period ends on the day before the effective date of promotion.
- 2) The Officer's grade is the grade prior to promotion.

Figure A-5 OER for Promotion of Reported-on Officer



Note: Where an OER is required

- 1) The reporting period ends on the day before the effective date of promotion
- 2) The Officer's grade is the grade prior to promotion.

Figure A-6 Reserve OER for Promotion of IDPL Reported-on Officer

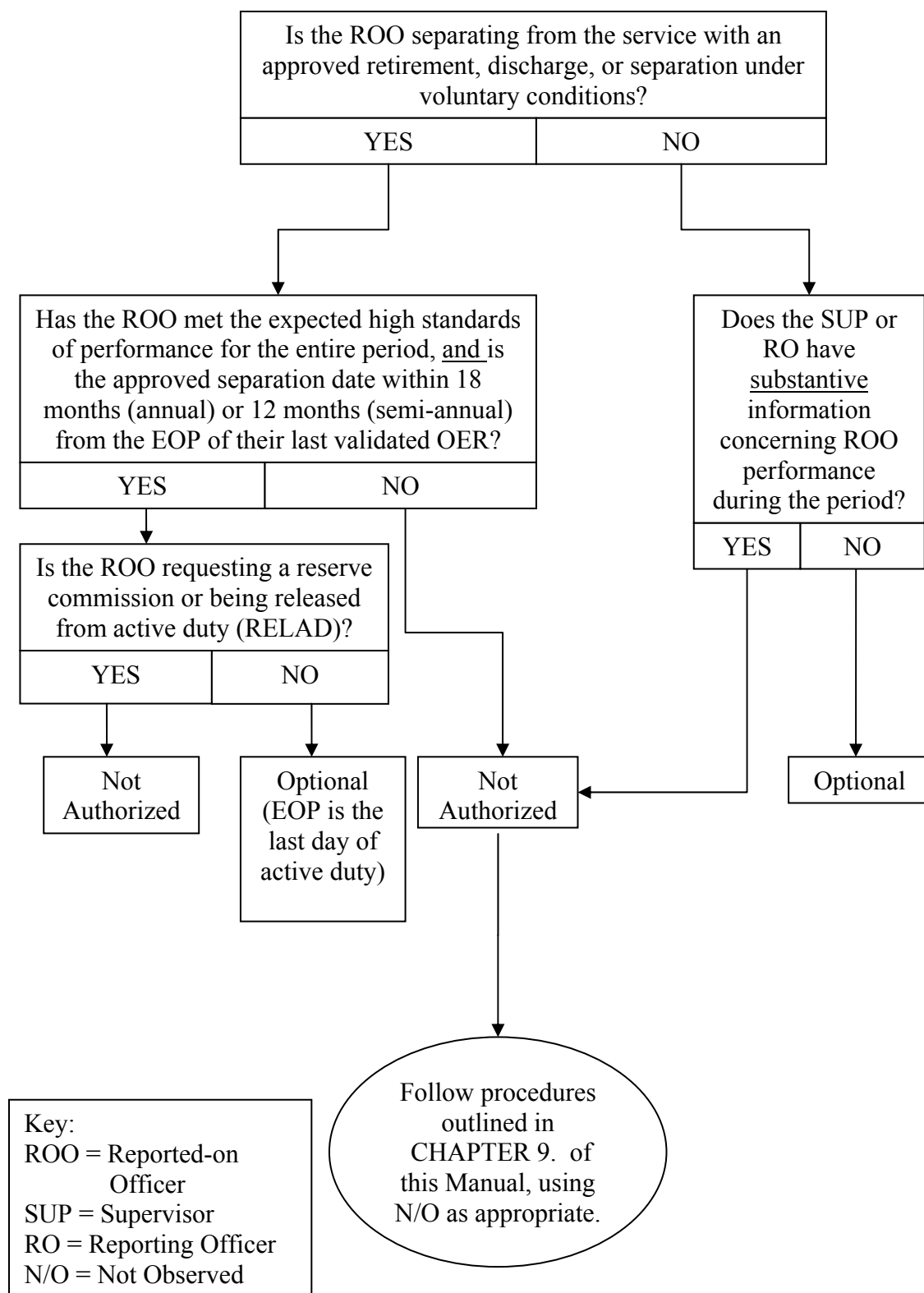


Figure A-7 OER for Continuity Purposes

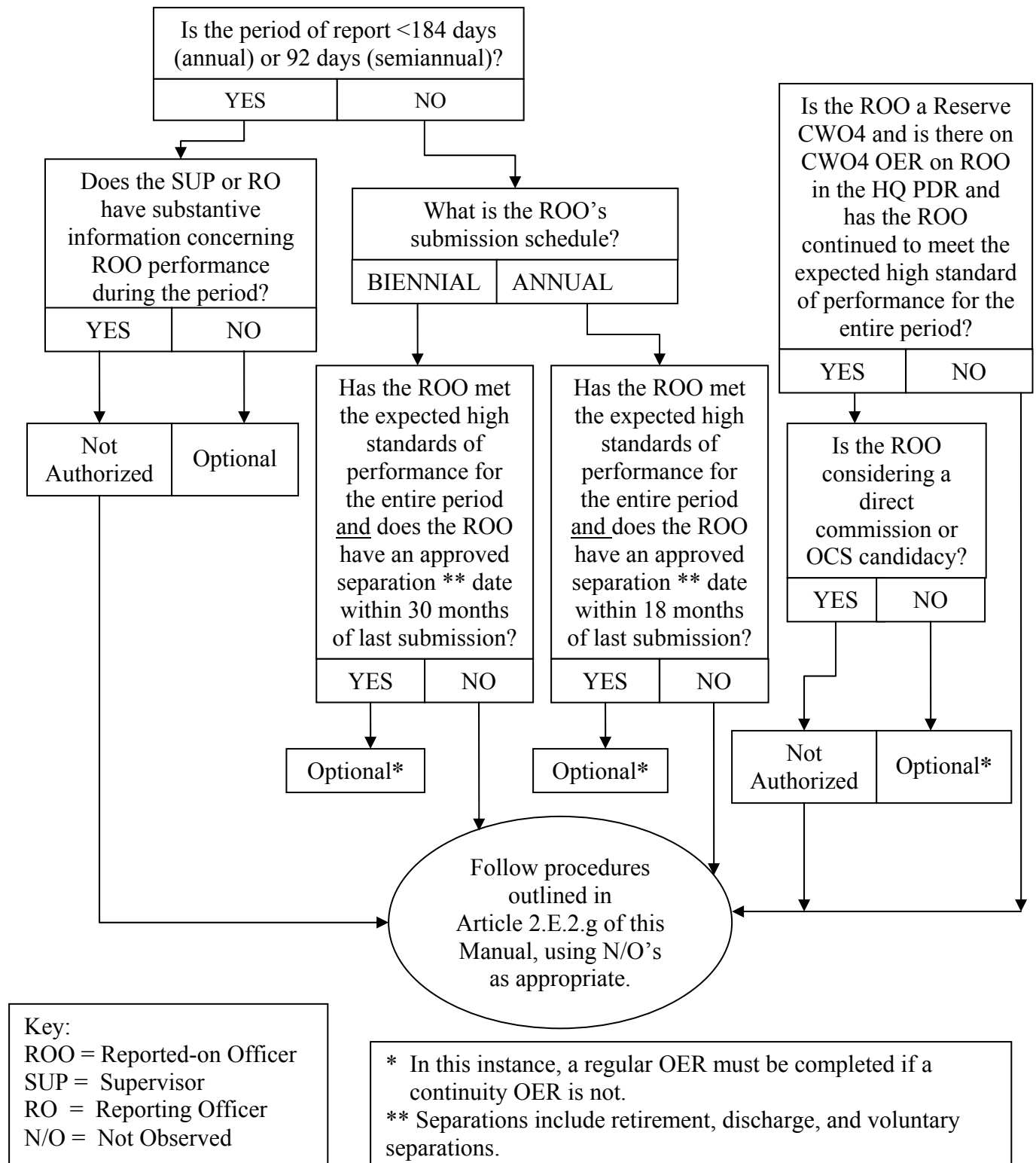


Figure A-8 Reserve OER for Continuity Purposes

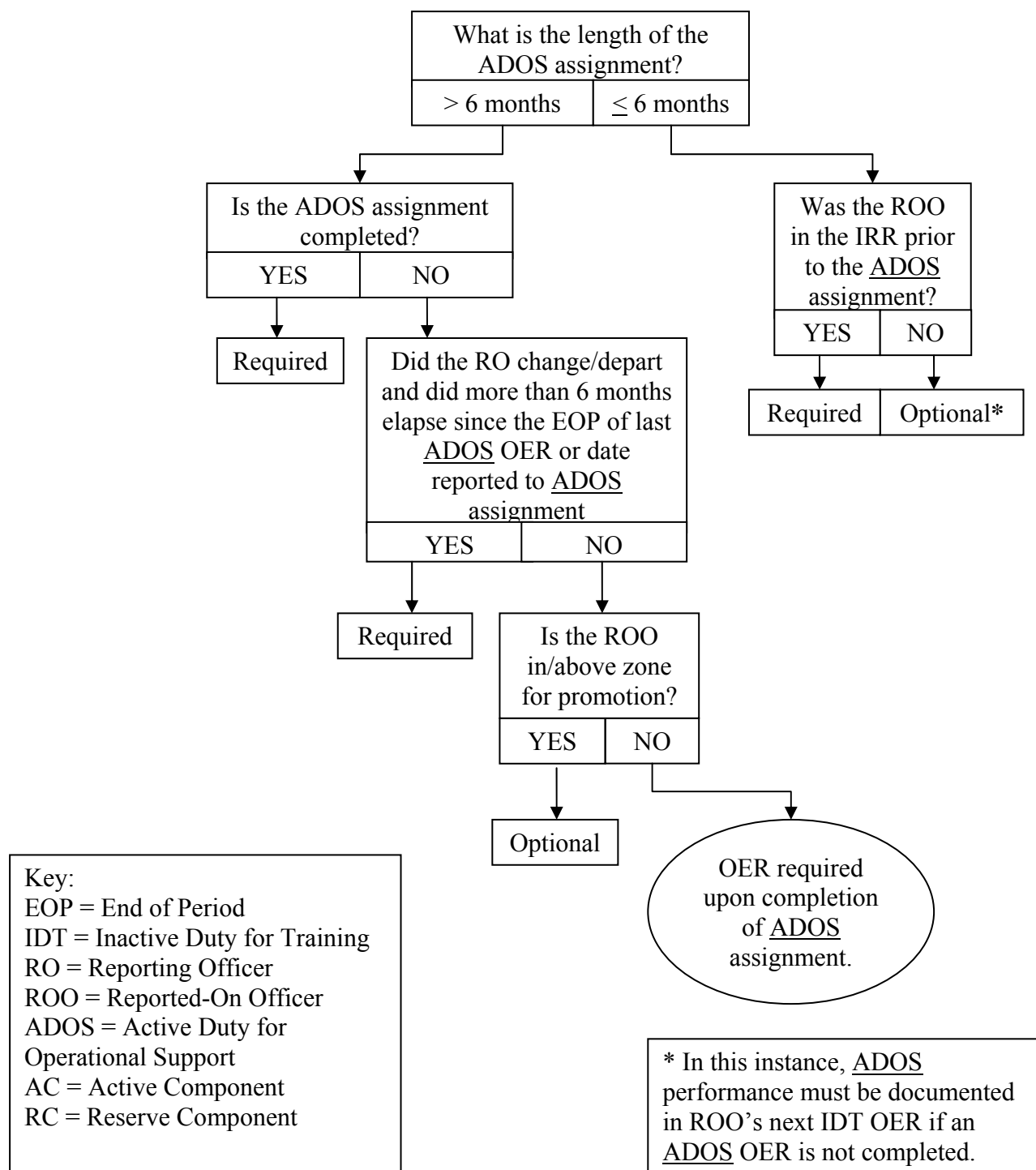
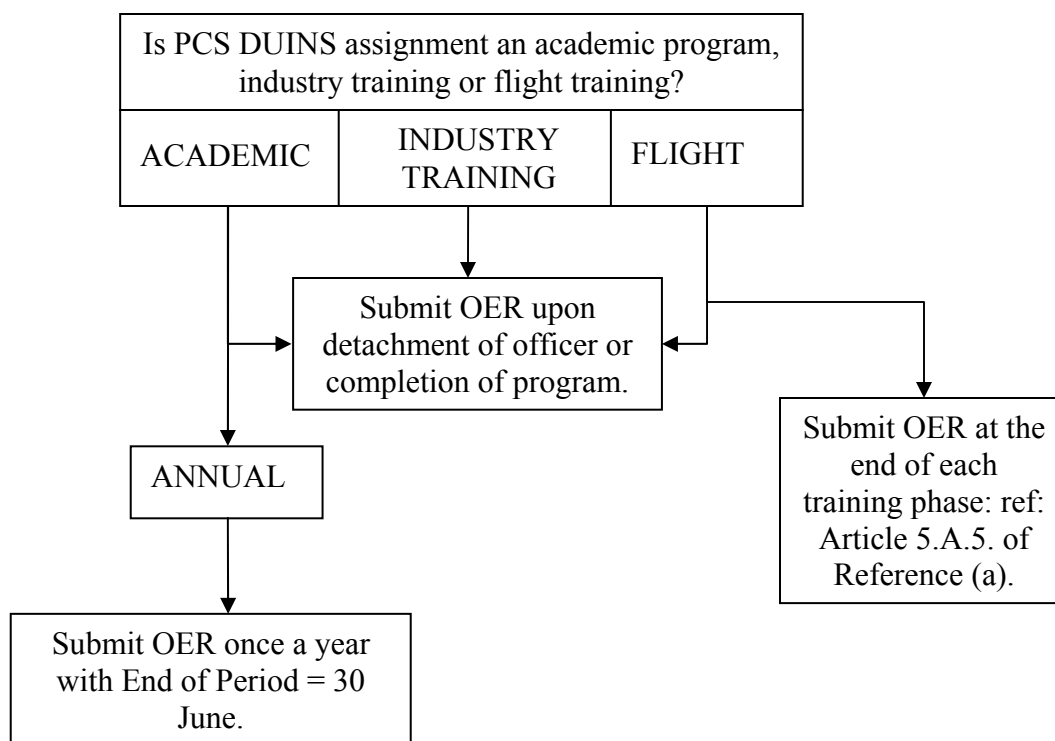


Figure A-9 Reserve OER for ADOS in support of AC or RC



Note - Officers in and above zone for promotion follow the regular DUINS submission schedule.

Key:
ROO = Reported-on Officer

Figure A-10 OER for Duty Under Instruction (DUINS)

Appendix B SAMPLE ADDENDUM AND ENDORSEMENTS

Reported-On Officer: (Name, Rank, EMPLID)

Period of Report: (Date) to (Date)

Reported-On Officer's Comments:

I desire to make the following comments in response to this evaluation report.....

-OR-

I am aware of the performance report and decline comment. I have been counseled on the contents of Article 5.A.7.c. of the Officer Accessions, Evaluations, and Promotions Manual, COMDTINST M1000.3 (series).

(Comments are limited to no more than 2 single-spaced pages (8 ½ X 11) typed on one side with no enclosures.)

(Signature)

(Date)

Reported-on Officer

(Each member of the Rating Chain should comment on separate sheets)

Reported-On Officer: (Name, Rank, EMPLID)

Period of Report: (Date) to (Date)

(Supervisor/RO/Reviewer)'s Comments:

The Supervisor shall be afforded an opportunity to address the Reported-On Officer's comments.

-OR-

"The Reported-on Officer's addendum is forwarded without comment."

(Note: *Comments, if provided, are limited to 1 page (8 ½ X 11) typed on one side with no enclosures.*)

(Signature)

(Date)

Supervisor/RO/Reviewer

Appendix C JOB AID FOR OER ADDENDUM PROCESS

COMDTINST M1000.3A, Article 5.A.7.c. describes the processing requirements for a Derogatory OER. Consider this a checklist on how to process a Derogatory OER and Addendums.

- ☐ Complete Special and/or Derogatory OER as per template. **Do not have anyone sign.**
 - ☐ Send to CG PSC-OPM-3 or CG PSC-RPM-1 case officer for review.
 - ☐ After CG PSC-OPM-3 or CG PSC-RPM-1 ensures OER is per policy, have Supervisor and RO sign OER (Reviewer does NOT sign the OER at this point – however, any mandatory or optional CG-5315s are completed and signed and dated by the Reviewer)¹
 - ☐ Present OER to Reported-on Officer for review. This starts the 14 day addendum process (ROO should use Appendix B as a template – Reference (a) Article 5.A.7.c).
 - ROO is given a full 14 calendar days to comment regardless of whether they desire to comment or not. If they do not wish to comment, they must still provide a statement stating the same.
 - Ensure the mbr is counseled and fully understands the process per Article 5.A.7.c. of Reference (a). The assigned case officer will assist the ROO as well with their Addendum to ensure compliance with policy.
 - Note: Restricted comments listed in Article 5.A.7.f of Reference (a) apply to the Addendum as well.
 - ☐ After 14 days, the Supervisor has the opportunity to provide comments on their addendum or to forward without comment (if no comment must still sign addendum...see template).
 - ☐ After the Supervisor, the RO has opportunity to provide comments on their addendum or to forward without comment (if no comment must still sign addendum...see template).
 - ☐ After the RO², the Reviewer looks at package in totality (OER and Addendums) to ensure all completed per policy. Reviewer then has opportunity to provide comments on their Addendum or to forward without comment (if no comment must still sign addendum...see template). The Reviewer signs and dates the OER on page 3.
 - ☐ Give entire package (OER and Addendums) to ROO. ROO (LCDR and below) signs Block 1.b to signify that he/she has seen the entire package (OER and Addendums) and is aware what is being submitted to CG PSC-OPM-3 or CG PSC-RPM-1.
 - ☐ Send entire package (OER and Addendums) directly to case officer (not to the CG PSC-OPM-3 or CG PSC-RPM-1 OER email repository).
-

¹ There is no Reviewer for an ensign evaluation.

² This step is modified for an ensign evaluation. The RO reviews the addendums and prepares their statement. The RO should not sign their addendum until at least 14-days have elapsed since they signed their section of the OER.

Appendix D OER REPLY TEMPLATE

dd Mmm YY

From: NAME, RANK USCG/USCGR

To: CG PSC-OPM-3 or CG PSC-RPM-1

Thru: (1) (original Supervisor by name)
(2) (original Reporting Officer by name)
(3) (original Reviewer by name)

Subj: OER REPLY

Ref: (a) Officer Accessions, Evaluations, and Promotions, COMDTINST M1000.3A, Article 5.A.7.e.

1. As authorized by Reference (a), I request the below reply be filed with my evaluation report for the period (Year/Month/Day) to (Year/Month/Day).

#
